Automated Communications Exchange System (ACES)

Communicating Electronically with Employers

ACES User Guide

May 2008

CalPERS

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GLOSSARY OF TERMS

TERM	DEFINITION
ACES	**A**utomated **C**ommunications **E**xchange **S**ystem: An Internet application for Employers to submit health, membership, and payroll transactions for Active Employees (not Retirees), and access participant information.
Add Dependent (function)	Adds new dependent(s) to a participant's health coverage.
AESB	Actuarial and Employer Services Branch (CalPERS.)
Agency-Submitted Files	On-line list of transaction files submitted to ACES for processing (accessible via the Retrieve Files function).
Annual Member Statement Employer Report (function)	Allows employers to view the Annual Member Statement (AMS) Employer Report. This is exclusively for employers contracting for retirement benefits with CalPERS and is provided yearly to inform employers of the employees in their agency who receive an Annual Member Statement.
Appointment	An individual's CalPERS enrollment is known as an "appointment."
As Of Date	The date that determines the time period for the displayed information. The default As Of Date is the current date; information can be retrieved for a previous date by changing the As Of Date.
Back-end batch process	The process by which COMET accepts and processes transactions submitted by employers.
Certification	The process by which CalPERS verifies that an employer has fulfilled the prerequisites (hardware/software, file layout, etc.) for ACES File Transfer processing.
Change Medical Group (function)	Changes a participant's Medical Group for accurate employer health contribution. For employers contracting for health by recognized employee group
Change Demographics (function)	Changes dependent name, gender, DOB and/or adding SSN.
COBRA	Consolidated Omnibus Budget Reconciliation Act. COBRA continuation coverage allows participants to continue health coverage if they leave the group plan or become ineligible for health benefits. The cost is 102 percent of the group monthly premium rate.
COMET	CalPERS On-Line Member and Employer Transaction database; processes and records health and membership data.
Delete Dependent (function)	Deletes a dependent from a participant's health coverage.
Demographic Information	Participant/dependent name, gender, and birth date.
Employer/Organization, Agency	The entity that employs a CalPERS/STRS/Non-PERS Participant/subscriber.
Employer Contact Center (ERCC)	Assists employers with ACES questions, troubleshoots problems. **888 CalPERS** (or **888**-225-7377)
Health/Membership File Transfer (function)	Uses the Internet to send data files already entered and saved via the employer's in-house system. (Compare with Internet Forms.)
Get Status (function)	Provides information about employer-generated data files and report requests.

<table>
<tr><th>TERM</th><th colspan="2">DEFINITION</th></tr>
<tr><td>Internet Forms</td><td colspan="2">Electronic forms via ACES, allows electronic submission of the AESD-1, HBD-12, HBD-85 and HBD-21 enrollments and changes.</td></tr>
<tr><td>ITSB</td><td colspan="2">Information Technology Services Branch (CalPERS)</td></tr>
<tr><td>Medical Group</td><td colspan="2">The recognized employee group associated with the contract (resolution) for health benefits.</td></tr>
<tr><td>Navigation Tree or Menu</td><td colspan="2">The list of ACES functions that appears on the left of every screen. Clicking on folder/document icons takes the user to the desired function.</td></tr>
<tr><td>New Enrollment (function)</td><td colspan="2">Adds a new PERS appointment, with or without an attached health enrollment, or Non-PERS/STRS with health enrollment.</td></tr>
<tr><td>Participant (Subscriber)</td><td colspan="2">An individual enrolled with CalPERS to receive Health, Membership, or other benefits/services.</td></tr>
<tr><td>Participant Change (function)</td><td colspan="2">Changes a Participant’s address and/or demographic data.</td></tr>
<tr><td>Participant Inquiry (function)</td><td colspan="2">Retrieves a Participant’s Health and Membership information.</td></tr>
<tr><td rowspan="4">Party Rate</td><td>A one-digit health code:</td><td>Enrolling:</td></tr>
<tr><td>1</td><td>Participant only</td></tr>
<tr><td>2</td><td>Participant plus one dependent</td></tr>
<tr><td>3</td><td>Participant plus two or more dependents</td></tr>
<tr><td>Periodic Extract</td><td colspan="2">A monthly list of outstanding errors. Notifies users of existing errors prior to their purge.</td></tr>
<tr><td>Primary Care Physician</td><td colspan="2">The physician selected to coordinate all health care, referring the patient to a specialist as necessary.</td></tr>
<tr><td>Retrieve Files (function)</td><td colspan="2">Provides information related to ACES-generated reports; e.g. Summary Report, Detail Report, Username/Password file, etc.</td></tr>
<tr><td>Service Credit Purchase Status (function)</td><td colspan="2">Allows CalPERS employers to view the status of Service Credit Purchase Requests and Elections requested by participants.</td></tr>
<tr><td>SSL</td><td colspan="2">Secure Socket Layer: Designed to provide secure communications on the Internet.</td></tr>
<tr><td>Status (function)</td><td colspan="2">Enables users to request and receive information about transactions submitted to ACES through File Transfer, Internet Forms, or User Account Maintenance.</td></tr>
<tr><td>Subscriber (Participant)</td><td colspan="2">The individual enrolled with CalPERS to receive Health or Membership benefits.</td></tr>
<tr><td>Tracking ID</td><td colspan="2">The number assigned to a batch by ACES.</td></tr>
<tr><td>URL</td><td colspan="2">Uniform Resource Locator: Internet address that directs a browser, such as Internet Explorer or Netscape, to an Internet resource.</td></tr>
<tr><td>View/Manage Batch (function)</td><td colspan="2">Holds saved transactions in batches until submitted to CalPERS for processing. Transactions with Agency Errors are returned to View/Manage Batch for correction.</td></tr>
</table>

FREQUENTLY ASKED QUESTIONS

How can my organization gain access to ACES?

For initial access to ACES, an employer must meet the following security requirements:

1. Complete the CalPERS Employer User Security Agreement (Page 121 or download at http://www.calpers.ca.gov/eip-docs/employer/aces/notifications/forms/pers-aesd-43-fill-in.pdf).
2. Fax completed form to CalPERS at 916-795-1523.
3. CalPERS will contact your ACES Account Administrator with a User ID and Password.

How can additional employees gain access to ACES?

Once the Account Administrator has signed on to ACES, they can grant access to employees within the organization rather than requesting User IDs and passwords from CalPERS. Each new user must complete an Employer User Security Agreement to be kept on file with the employer.

How do I know if my Internet web browser has 128-bit SSL encryption?

Internet Explorer	Netscape
1. Open Internet Explorer 2. Select “Help” from the menu 3. Select “About Internet Explorer” 4. A new browser window will appear 5. See Cipher Strength. To access ACES, it should read 128-bit	**1.** Open Netscape **2.** Click the **lock icon** at the bottom left-hand corner of the screen. A new window will appear. **3.** Select **Navigator** on the left-hand side of screen. **4.** Click the **Configure SSL v2 button**. Another browser window will appear. **5.** Verify that all options are checked for 128-bit encryption. **6.** Click OK. If some of the options are not checked for 128-bit encryption or there are no options for 128-bit encryption, you will not be able to log onto ACES.

If your browser does not have 128-bit encryption, you will be unable to reach the ACES login page. Please report this problem to your Information Technology Department, and request your browser be upgraded to support 128-bit encryption.

What are the deadlines for submitting files to CalPERS?

- Health and Membership transactions must be submitted by 3:00 p.m. for processing that evening.
- Payroll files must be successfully validated by 3:00 p.m. for processing that evening.

Files submitted after their respective pick-up times will be processed the following business day.

You will be notified via e-mail when your files have been processed. A summary and detail report will then be available to you through ACES.

What are ACES hours of operation?

Currently, ACES is available Monday through Saturday, from 6:00 a.m. to 6:00 p.m. CalPERS will run the transmitted batch files at 3:00 p.m. Monday through Friday. All transactions completed and submitted by 3:00 p.m. Monday through Friday will be processed that same evening, while those submitted after 3:00 p.m. will be processed with the next scheduled batch pick-up. Payroll Transfers must be successfully validated by 3:00 p.m. and are also processed Monday through Friday. You are notified by e-mail when each batch is processed and when a summary report will be available.

Is ACES available on State Holidays?

You may log in to ACES and key transactions on State Holidays; however, batches are not processed until the next business day, and telephone support is not available. ACES is **unavailable** on December 25 and January 1.

Who do I call for ACES assistance?

CalPERS Employer Contact Center (ERCC)
888 CalPERS (or **888**-225-7377)
Monday - Friday 8:00 a.m.-5:00 p.m.

When would I need to call the CalPERS ERCC?

Once your transactions have Successfully Applied, you will need to call the ERCC to correct the following:

- Social Security Number (SSN)*****
- Coverage Group
- Effective Dates for Membership and/or Health
- Event Dates for Health transactions
- HBO Received Dates for Health transactions
- Health plans
- Dependents inadvertently omitted from the original Health enrollment

***Please Note:** If an incorrect SSN was keyed on a **New Enrollment**, you must immediately call the ERCC to have the incorrect SSN removed from the CalPERS database.

What if ACES isn't responding?

First verify with your information systems specialist that your hardware, software and Internet connections are operating properly. Once the user verifies that a connectivity problem is not internal, please call the CalPERS ERCC.

Are there any tips for entering data in ACES?

- **Tab through fields**. Shift tab will take you backwards through previous fields.
- **Type text using upper and lower case**. The way you type text in the data fields is exactly the way it appears on system-generated information. We suggest the consistent use of upper and lower case letters rather than all capitals.
- **Some fields with drop-down menus are letter-sensitive**. Example: When you type the letter P in a field, it automatically populates with entries beginning with P.
- **"Erasing" typing errors**. To "erase" information you've entered, simply highlight the field and delete.
- **Using the Reset button**. Clicking the Reset button (usually located next to the Save button) removes all data you have entered (but not data that populates automatically).

Does ACES have a Time-Out feature?

If no action is performed within a 15-minute time period, ACES will automatically time you out. You will have to log on again to perform your transaction. A transaction will be lost and need to be re-keyed if timed out in the middle of an unsaved transaction. Any transaction that has been saved in a batch will not be lost, and can be found in View / Manage Batch.

Will Pop-up Blockers affect functions in ACES?

Pop-up blockers installed on computers may prevent some features of ACES from operating properly. Pop-up blockers must be temporarily disabled to allow proper operation of the following:

- Participant Inquiry,
- Reports in Retrieve Files (Status folder)
- Public Agency Billing report, Printer Friendly Version
- View / Manage Batch Print Preview

Hold down the "**Ctrl**" button on your keyboard while clicking on one of these ACES functions to temporarily disable an installed Pop-up Blocker.

When I print in Participant Inquiry or Public Agency Billing, I'm not receiving current data. How do I fix this?

If you are using Internet Explorer 6.0, please make the following configuration change:

1. Open Internet Explorer.
2. Click "Tools" in the menu bar.
3. Click "Internet Options."
4. Click the "Settings" button under the Temporary Internet Files section.
5. Select "Every Visit to this Page."
6. Click "Ok" to accept these settings.
7. Click "Ok" again to accept these options.

GETTING STARTED

> **Reminder**
> This User Guide includes work steps for both Health and Membership ACES functions. If your agency contracts for either Health or Membership but not both, please disregard the non-applicable information.

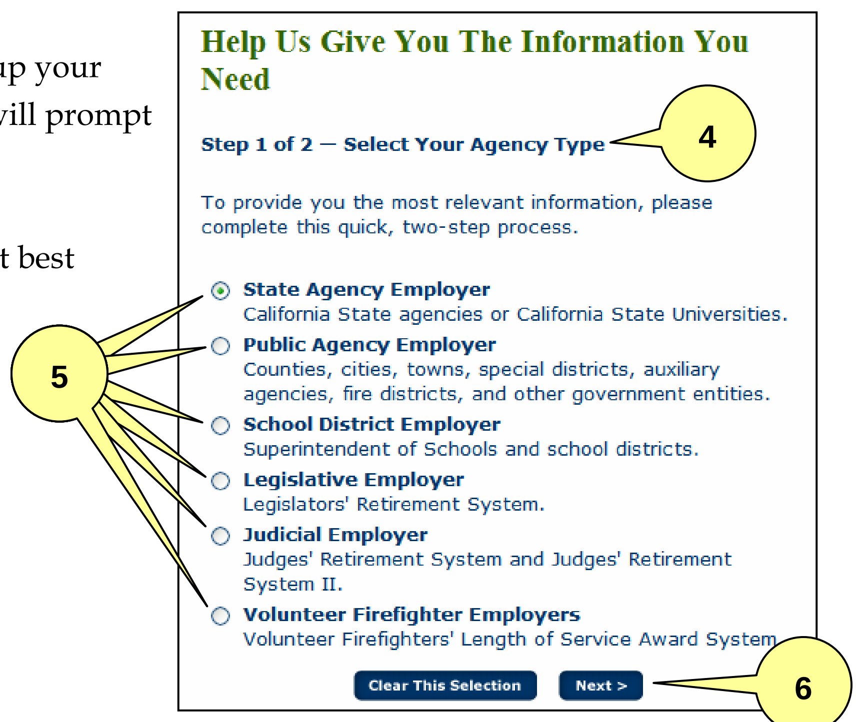
Connecting to ACES

1. Open your web browser.
2. Enter http://www.calpers.ca.gov in the address bar.
3. Choose the "For Employers" tab.

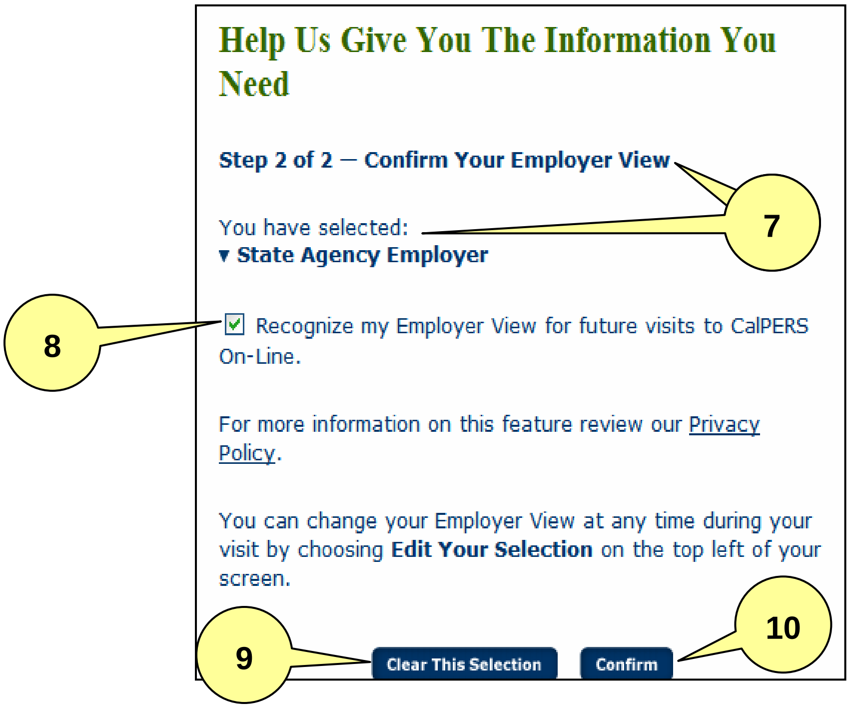
4. If you have not already set up your Agency type, the system will prompt you to make a selection.

5. Choose the radio button that best reflects your agency type.

6. Click **Next**.



Connecting to ACES (cont'.)

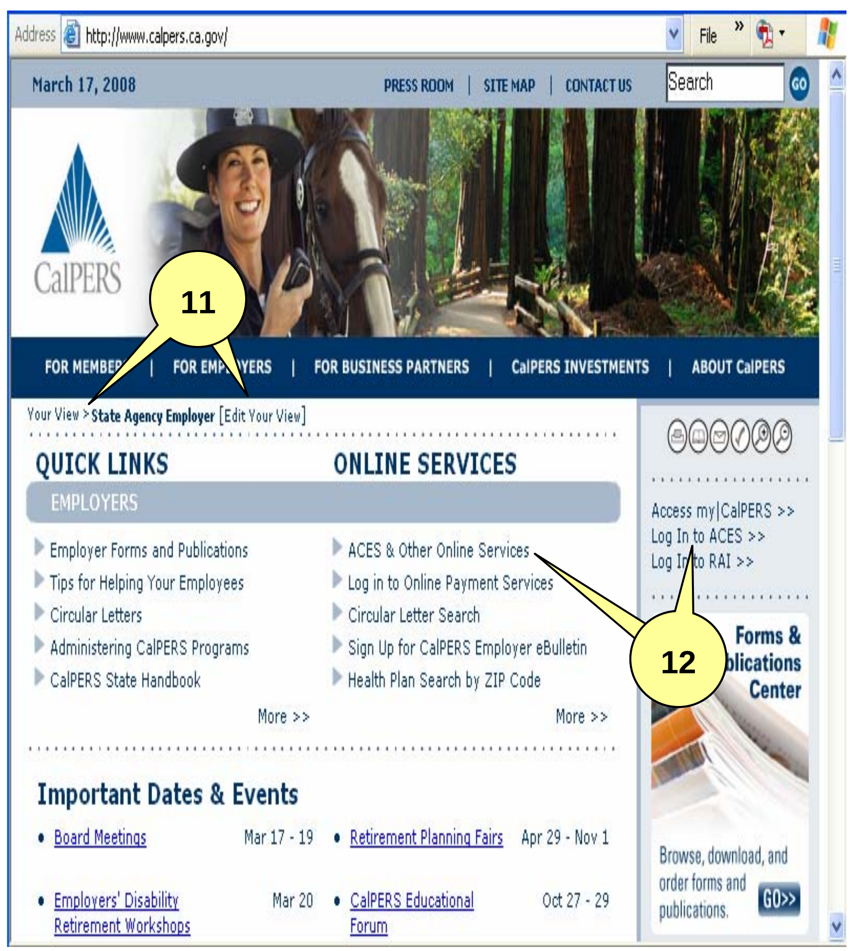


7. The system will confirm the agency type you selected.

8. Make sure this box is checked so you do not have to select your agency type every time you sign in.

9. Select **Clear This Selection** if you need to change your agency type.

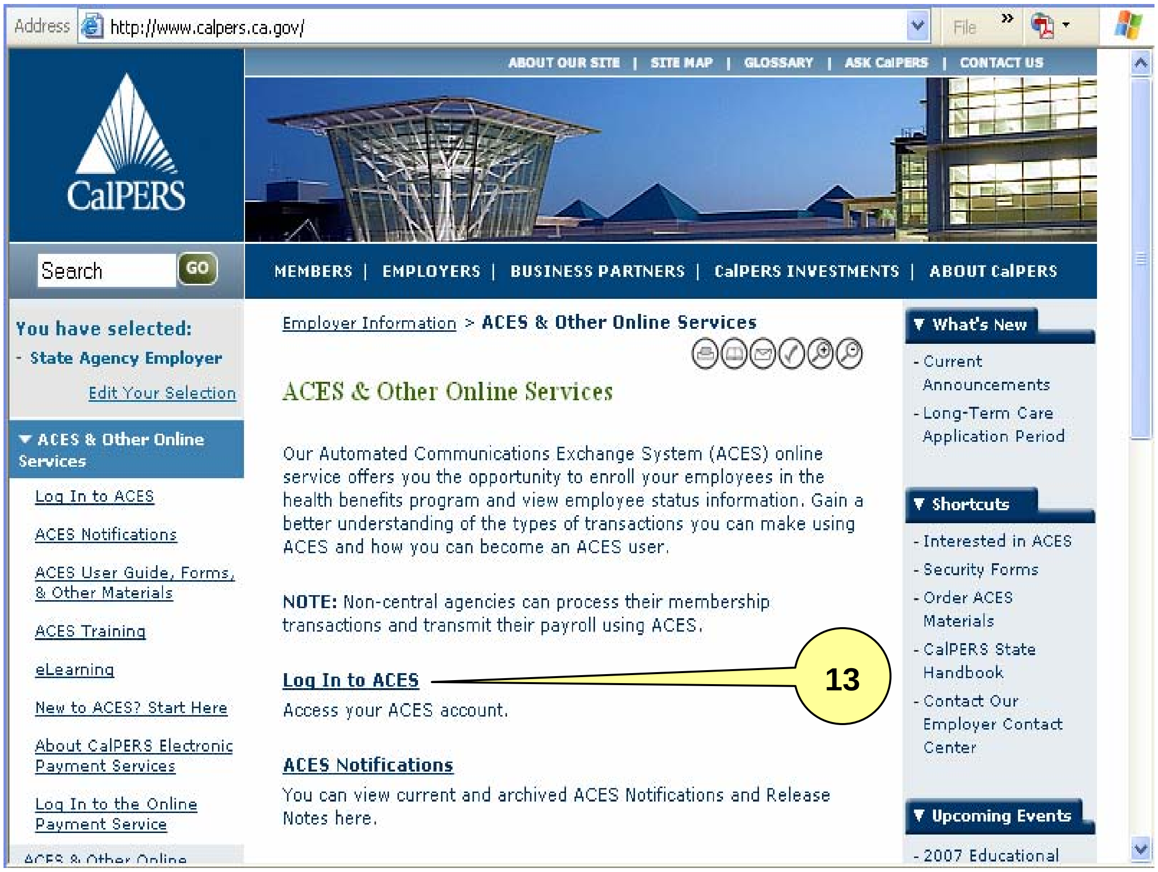
10. Select **Confirm** to set your agency type.



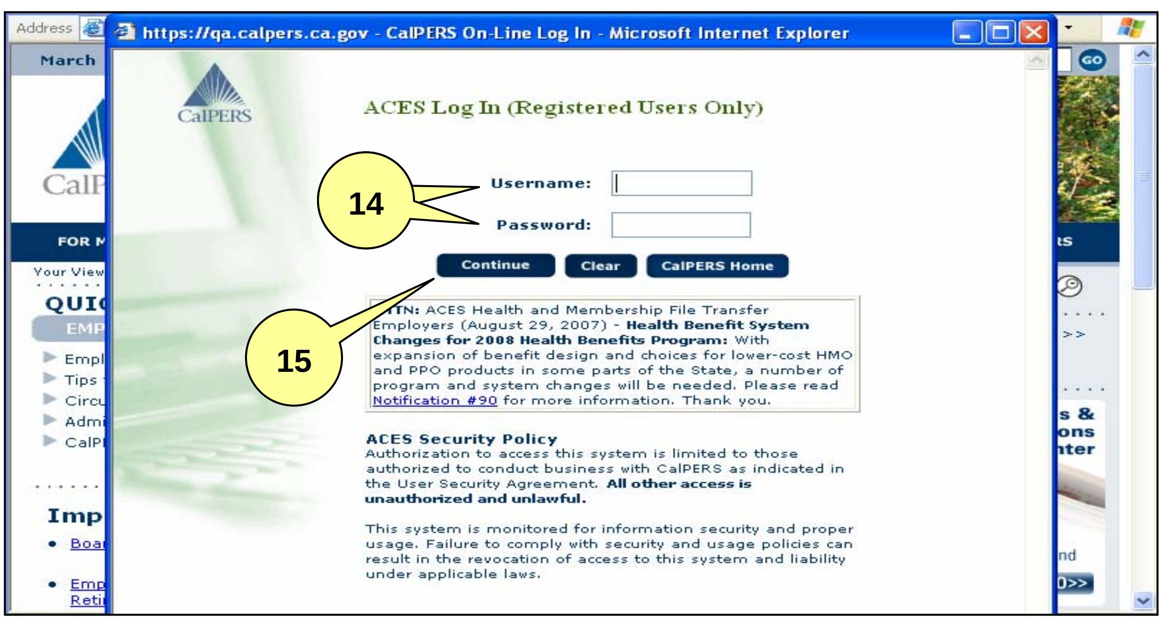
11. Your agency type and view will be set. If you need to change or edit your view at this point, you may do so by selecting the **[Edit Your View]** link.

12. Select **ACES & Other Online Services** to get to the ACES online home page. Or select the **Log In to ACES** link to go directly to the ACES log in window.

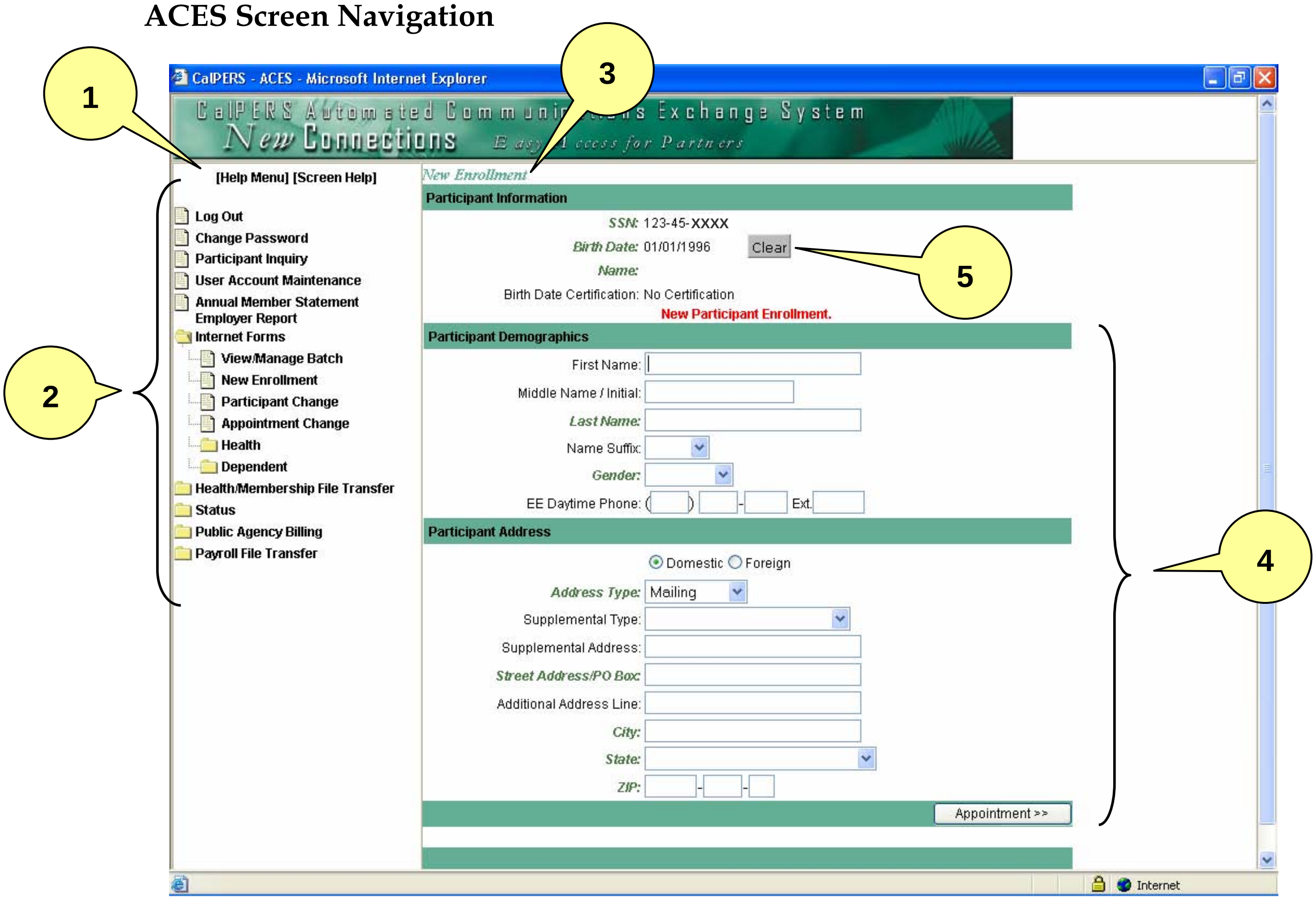
Connecting to ACES (cont'.)



13. Click **Log In to ACES**.
14. The ACES Log In window will appear. Type your ACES Username and Password (neither are case sensitive).
15. Click **Continue** or Press **Enter.**



ACES Screen Navigation



1. **Help Menu** and **Screen Help**: Click **Help Menu** to access general ACES help information. Click **Screen Help** for specific information regarding the screen you are currently accessing.

2. **Navigation Menu**: The list of ACES functions. A yellow folder indicates more options – click the folder to expand.

3. **Application Screen Title**: Identifies the function selected from the Navigation Tree that is currently in use.

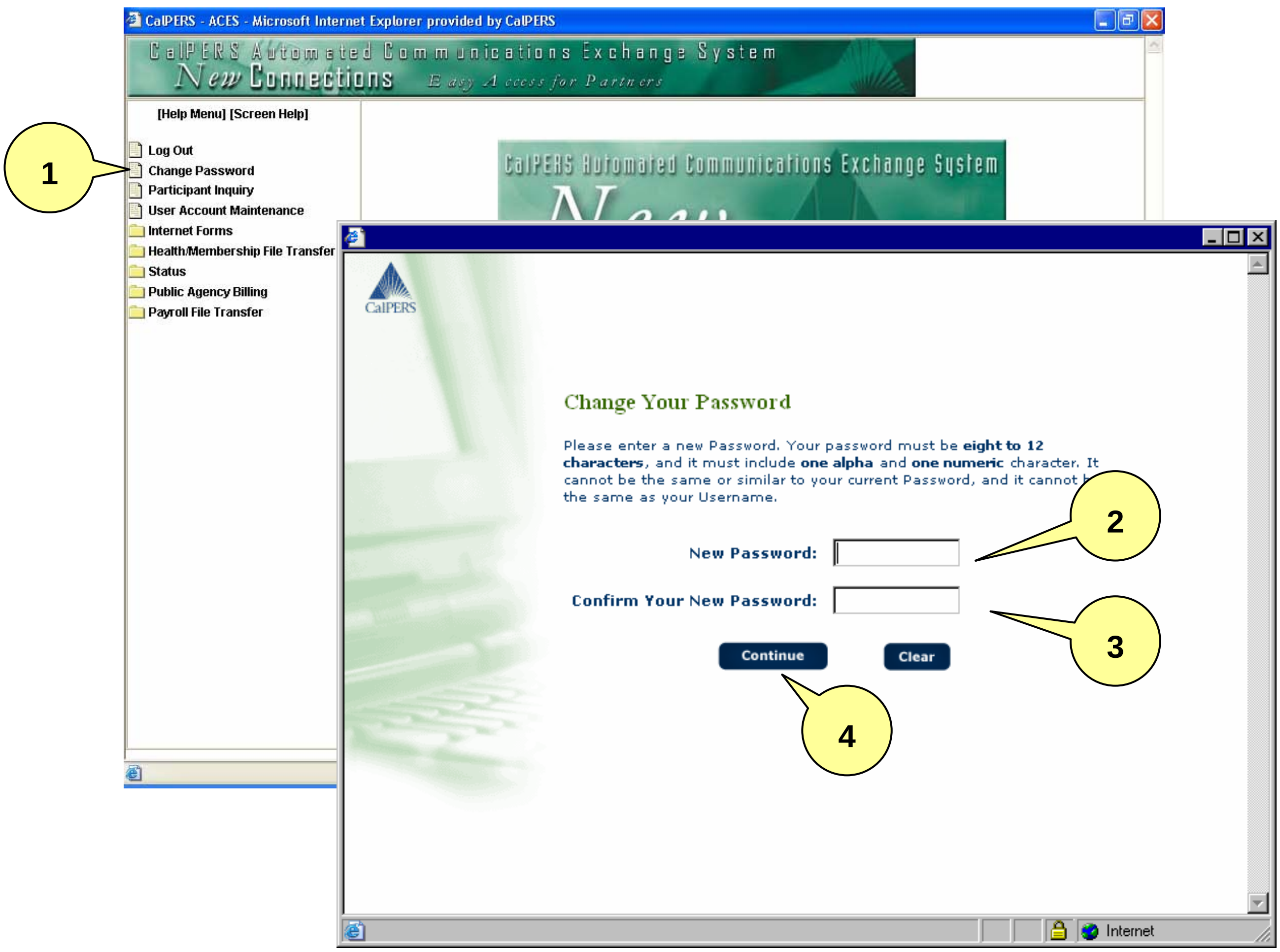
4. **Screen Area**: This area displays information and fields specific to the function in use.

5. **Clear Button**: Clears the current participant's information.

Change Password

Access to ACES is secured and controlled through username(s) and password(s). Use the **Change Password** screen to change your password.

1. If this is your first time logging on to ACES or your password has expired, ACES will automatically direct you to the Change Password screen. Otherwise, click **Change Password** from the Navigation Menu. Follow the password criteria established on the **Change Your Password** screen.
2. Enter your new password.
3. Repeat your new password.
4. Click **Continue**. You will receive confirmation that your password has been successfully changed.



NOTE: If you enter your password incorrectly four (4) times, your account will be locked. Contact your agency's Account Administrator to have your account unlocked. If you need additional assistance, contact the Employer Contact Center at **888 CalPERS** (or **888**-225-7377).

ACES Password Requirements

When you first log on to ACES with the temporary password you have received from your Account Administrator or CalPERS, you must change that password to one of your own choosing.

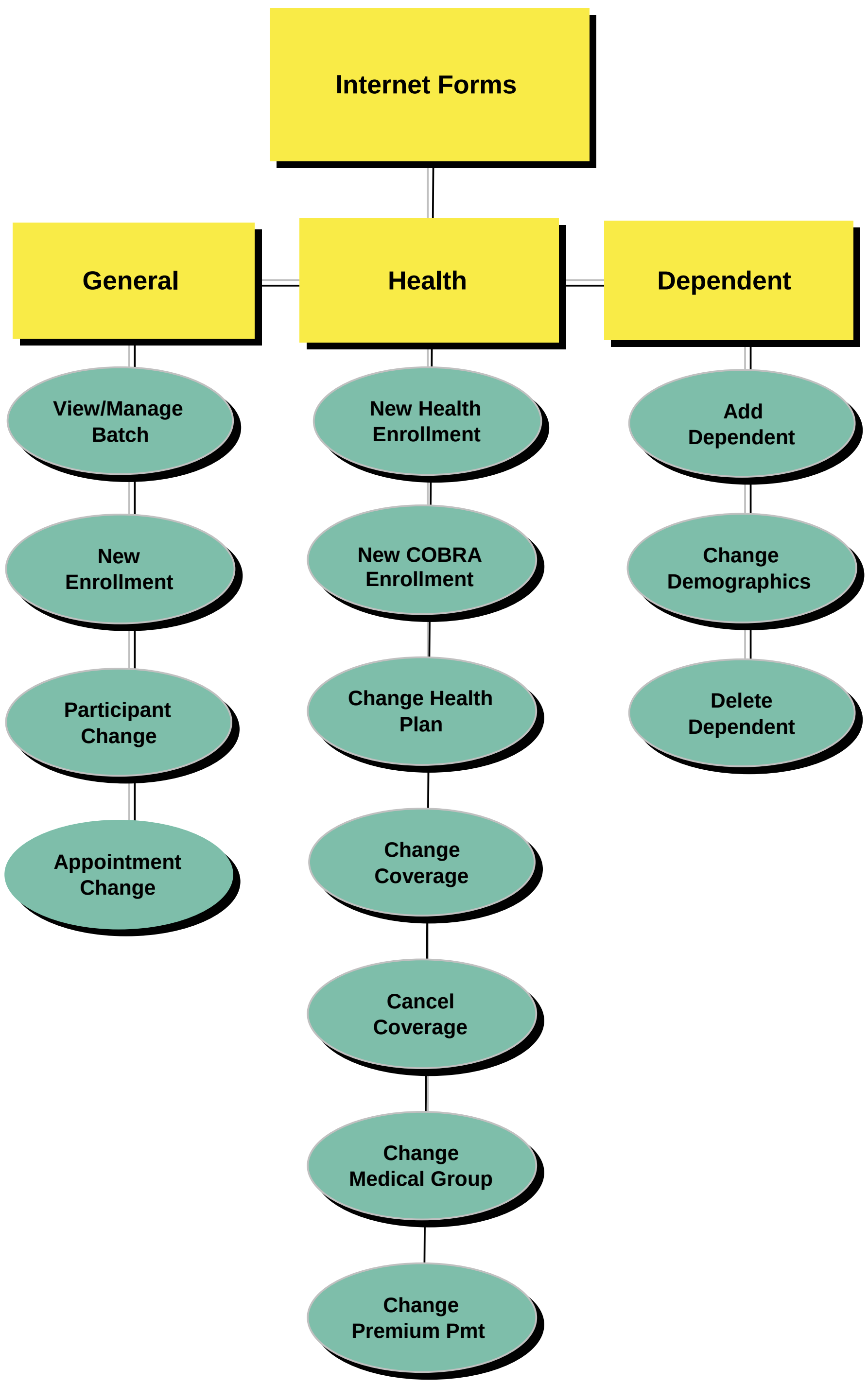
- Your password must be no fewer than eight (8) and no more than twelve (12) characters long
- Your password must be a combination of alpha and numeric characters
- Your password cannot be the same as your user name
- Please note that if you enter your password incorrectly four (4) times when attempting to log on, you will be locked out of ACES. Contact your agency's Account Administrator to unlock your account. For further assistance, call the Employer Contact Center at **888 CalPERS** (or **888**-225-7377).
- You will be prompted to change your password every 60 days
- You may reuse a password after ten (10) changes

Reminder

The on-line Help function is available to answer many of your questions, making ACES truly user-friendly. Use this as your first resource when you need immediate information, such as instructions or definitions.

INTERNET FORMS: GENERAL

When you log on to ACES and select Internet Forms, you will see three folders: **Internet Forms: General** (four document icons representing four different functions), **Internet Forms: Health** (seven functions), and **Internet Forms: Dependent** (three functions). The diagram below is a map of Internet Forms functions available to ACES users.

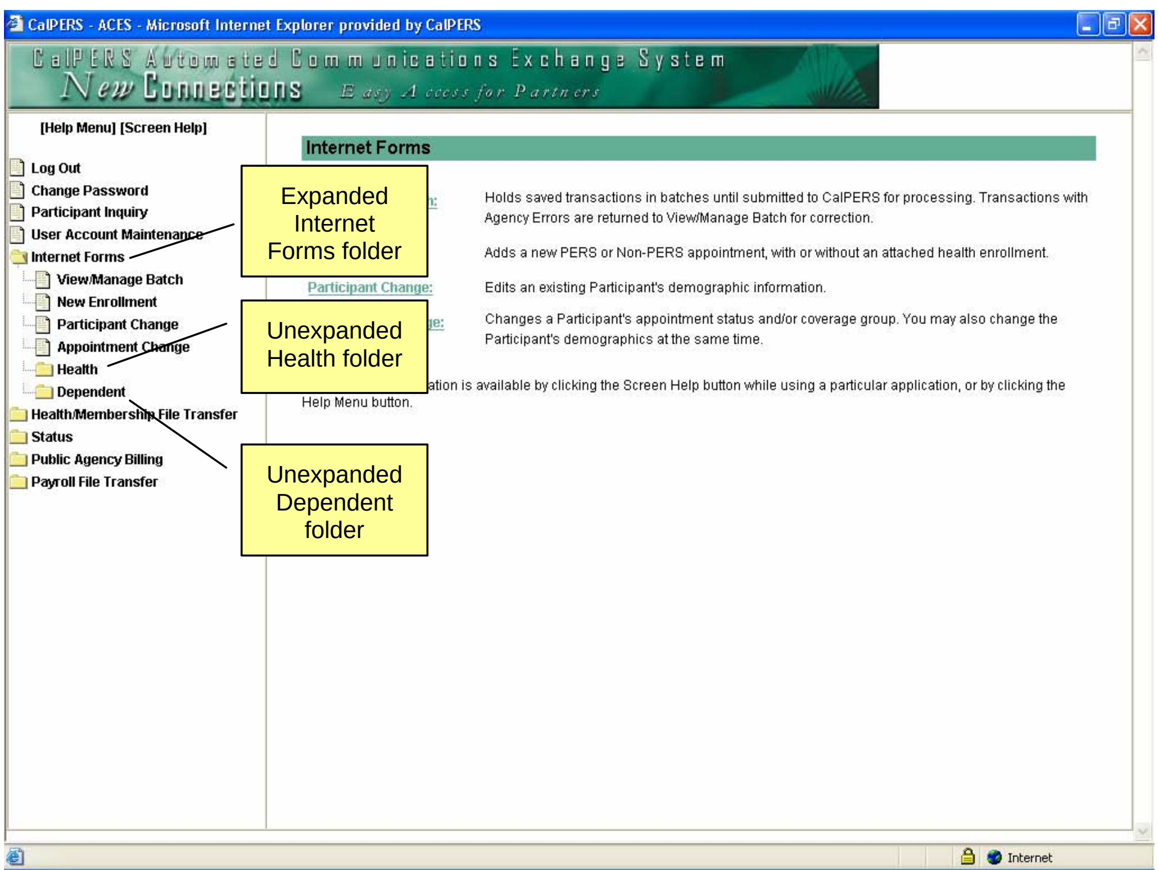


The Internet Forms Function

The General category of Internet Forms has four functions:

Function:	Purpose:
View/Manage Batch	Holds saved transactions in batches until submitted to CalPERS for processing. Transactions with Agency Errors are returned to View/Manage Batch for correction.
New Enrollment	Adds a new PERS appointment, with or without an attached health enrollment, or Non-PERS/STRS appointment with health enrollment.
Participant Change	Edits an existing Participant's demographic information.
Appointment Change	Changes a Participant's appointment status and/or coverage group. You may also change the Participant's demographics at the same time.

The screen below shows the Navigation Tree with the Internet Forms folder expanded. It shows the four functions of the Internet Forms: General category, and the unexpanded Health and Dependent folders.

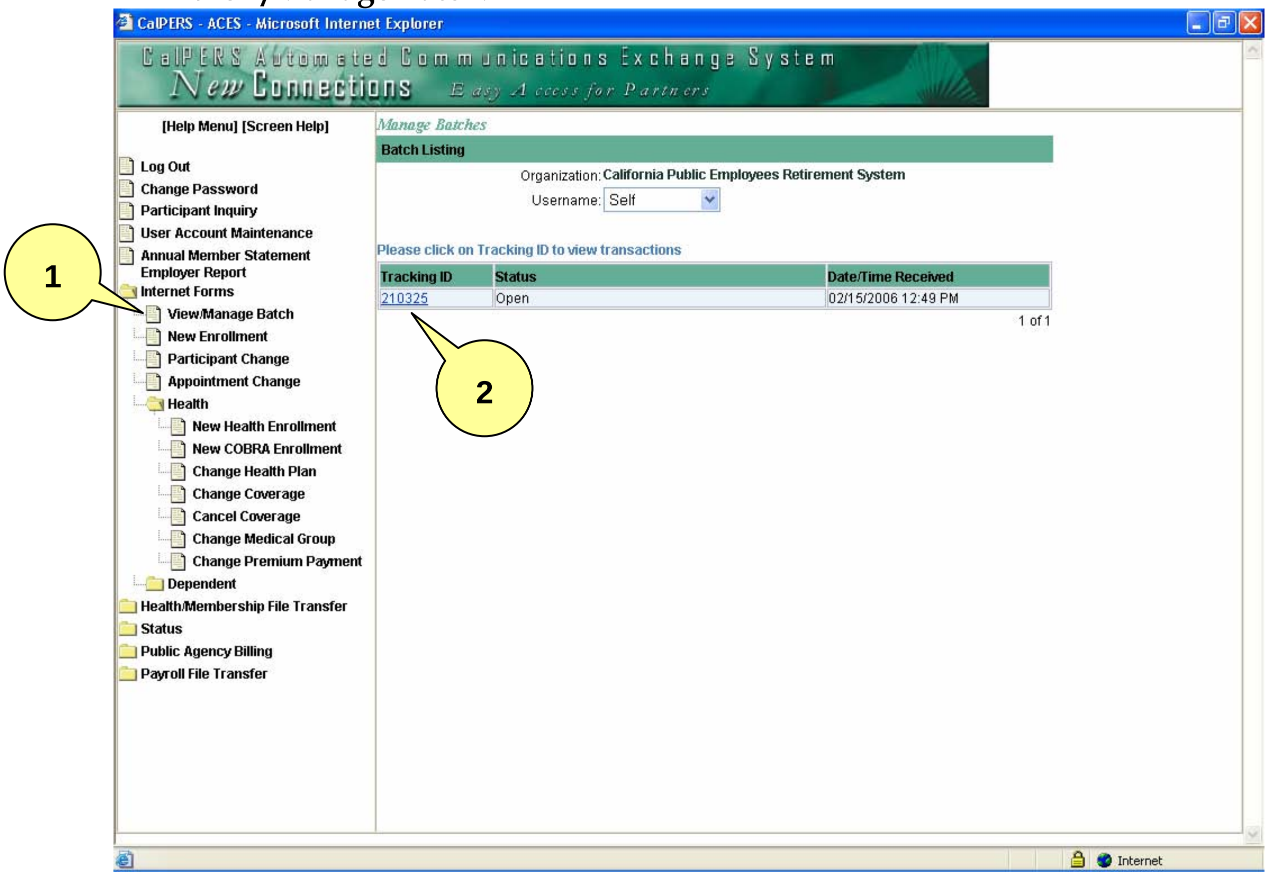


View/Manage Batch

After you have entered and saved Internet Forms transactions, **View/Manage Batch** holds them until you are ready to submit them to CalPERS for processing (or until CalPERS picks up the batch for processing).

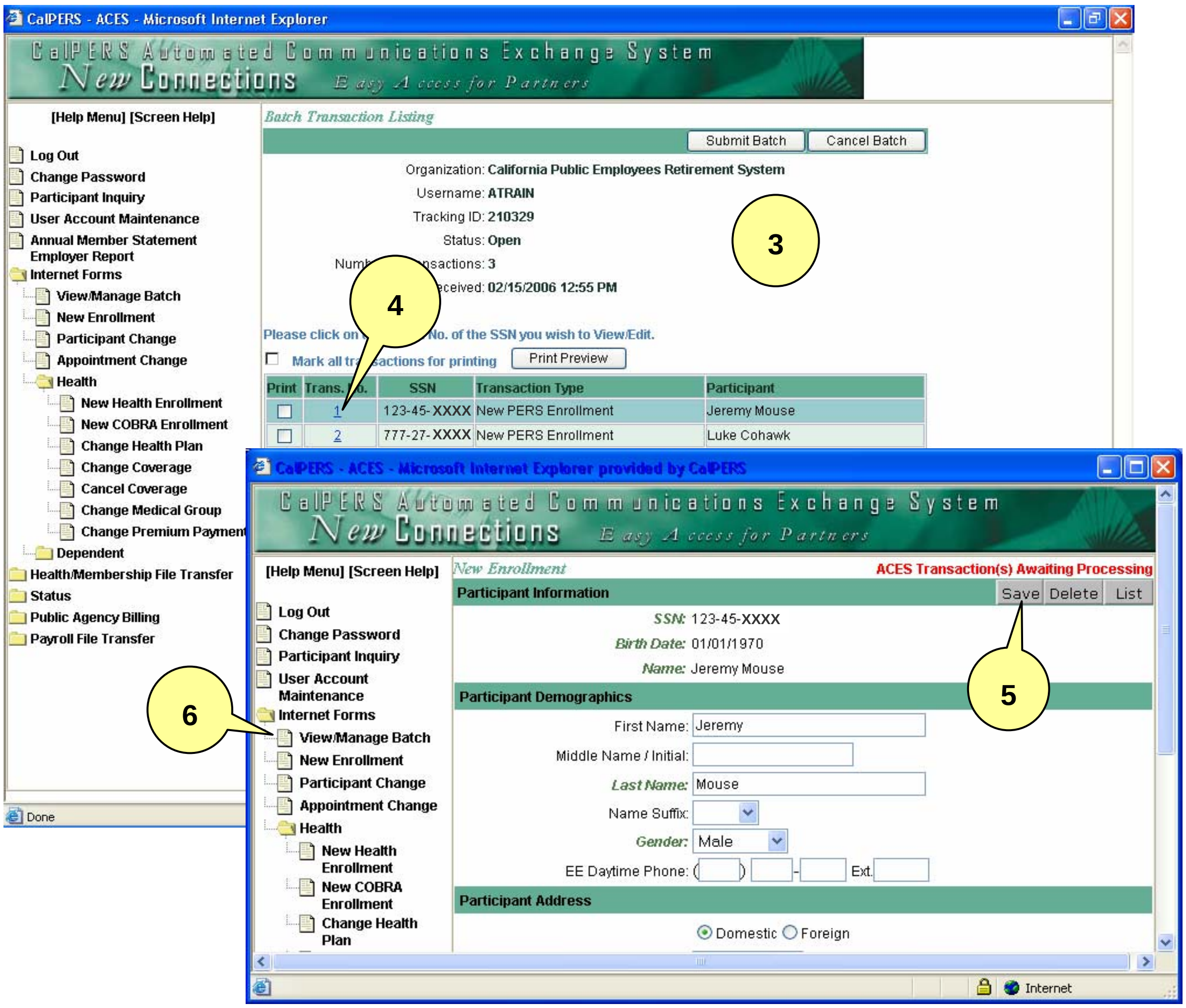
NOTE: You can submit more than one batch per day, up until the applicable deadline (see Page 8). However, the transactions you completed will NOT be processed unless you submit them using **View/Manage Batch**.

1. From the Internet Forms folder on the Navigation Tree, select **View/Manage Batch**.



2. Click the Tracking ID of the batch you want to send to CalPERS for processing. **Note**: The Status column may show one of the following messages:
   - Open
   - Waiting to be processed
   - Error

VIEW/MANAGE BATCH

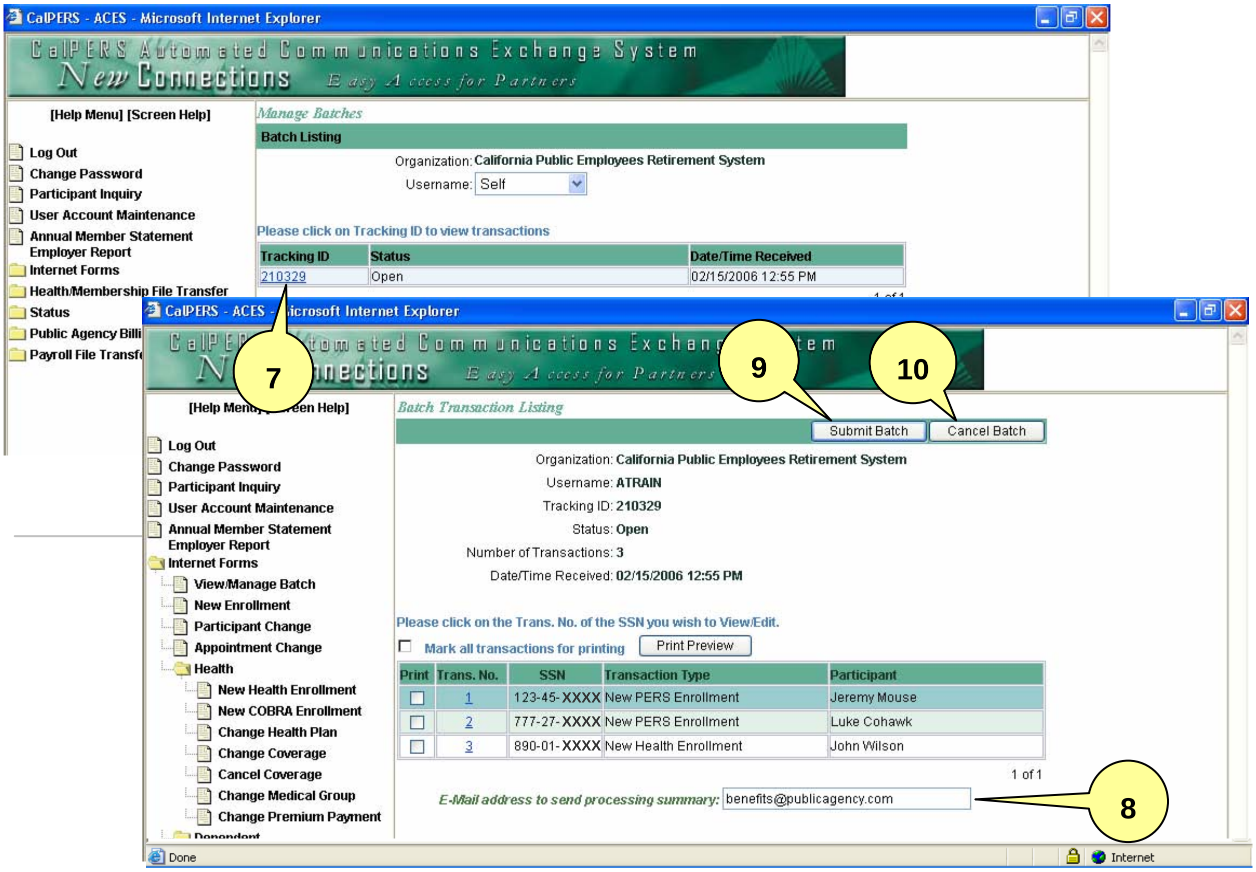


3. A list of saved transactions appears.
   - To view or make changes to a specific transaction, go to Step 4.
   - If the batch is ready to be submitted for processing, go to Step 8.
4. To view or make changes to a specific transaction, click on the Trans. No. next to the appropriate transaction.
5. Information already saved appears.
   - To change information, go to the desired field, make change(s), and click **Save**.
   - To delete a saved transaction, click **Delete**.

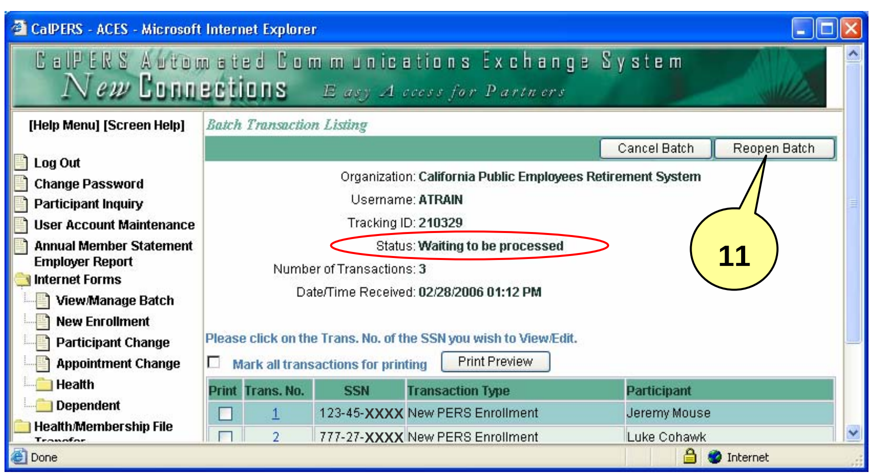
   Note: If no **Save** or **Delete** buttons are visible, the batch has been submitted and is closed. Reopen the batch to make any changes to the transaction.
6. When you are satisfied that all transactions are correct and you are ready to send the batch to CalPERS for processing, select **View/Manage Batch** from the Navigation Tree.

Reminder

To add or edit a transaction in a batch that has already been submitted, you must re-open the batch, update and save the transaction, and **resubmit the batch via View/Manage Batch** in order for the batch to be processed. Open batches will not be processed.

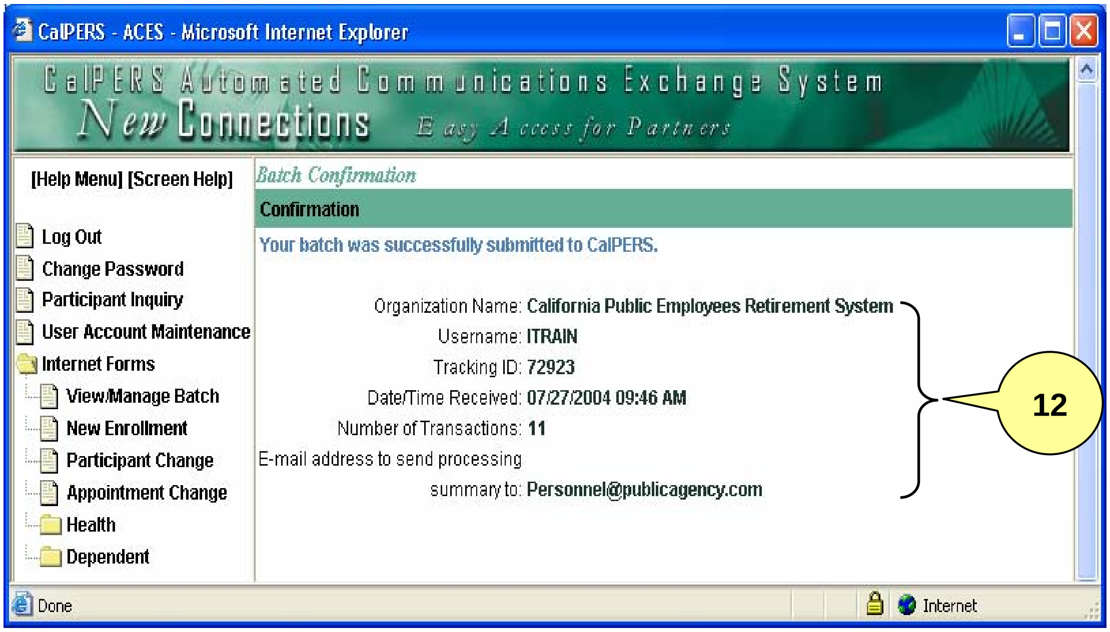


7. On the Manage Batches screen, click the Tracking ID of the batch to be submitted.
8. At the bottom of the **Batch Transaction Listing**, verify the e-mail address to send the processing ***Summary Report***. (The Summary Report specifies the number of transactions submitted and the status of each transaction after processing. See the **Error Correction Process** section for additional details).
9. Click **Submit Batch** to submit the transactions to CalPERS for processing.
10. If you want to cancel the entire list of transactions, click **Cancel Batch**.
11. You may reopen the batch ***Waiting to be processed*** any time before 3:00 p.m. to make changes to transactions by clicking the **Reopen Batch** button from the **Batch Transaction Listing** page.



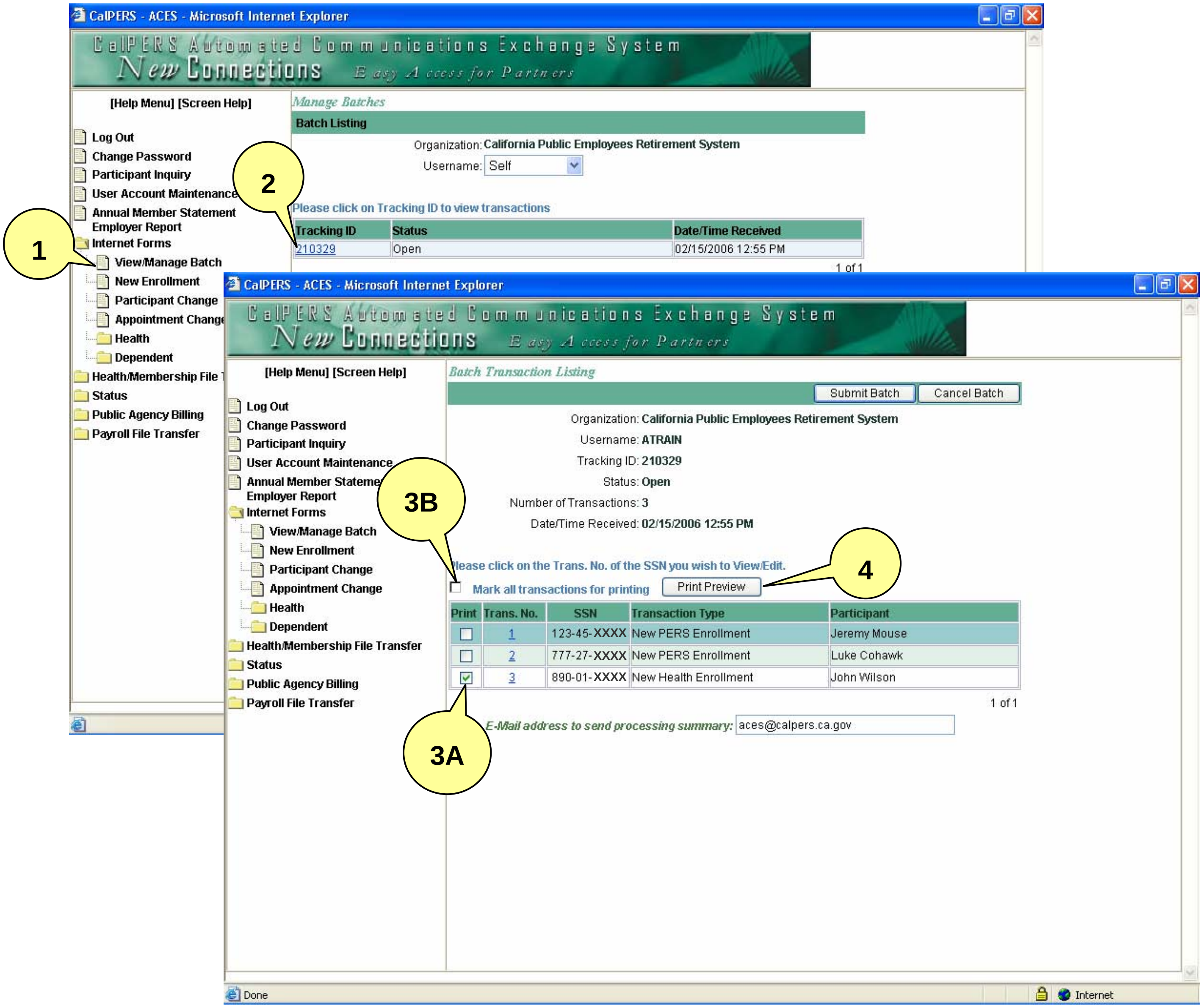
Reminder: If you reopen the batch to make changes, you must save the transaction and re-submit the batch for processing.

12. The Batch Confirmation page will appear indicating the batch was successfully submitted to CalPERS. If you submitted your batch of transactions before 3:00 p.m. on a weekday, you will receive an e-mail notification with your Summary Report the same day.



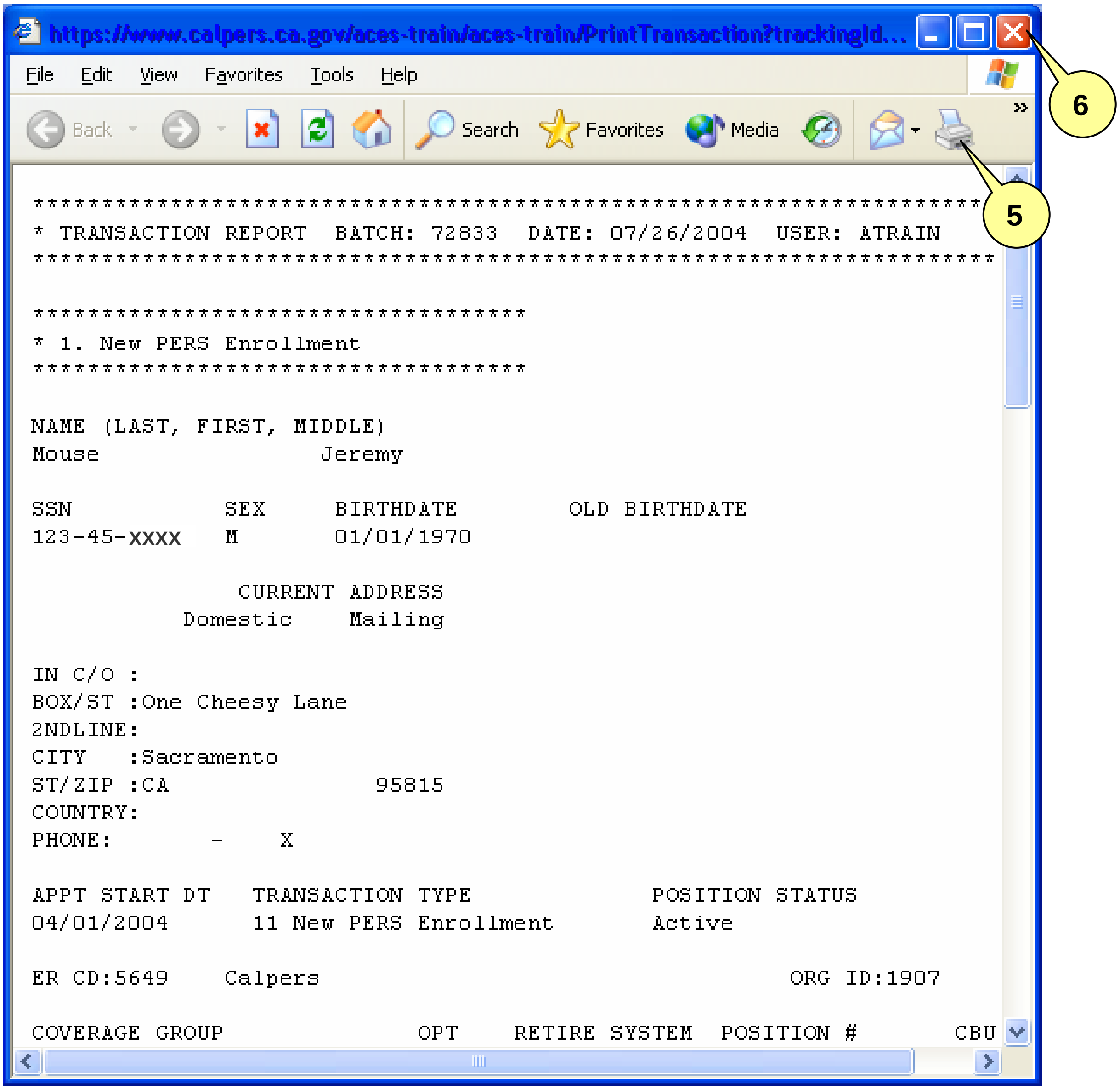
Printing from View/Manage Batch

You have the option to print a list of all transactions from **View/Manage Batch** when the batch has not been submitted and is "Open," or when the batch has been submitted and is "Waiting to be Processed."



1. Click **View/Manage Batch** on the Navigation Tree.
2. Click on the Tracking ID to open the batch you wish to print.
3. Select transactions to be printed in either of the following ways:
   A. Check the box in the "Print" column to mark individual transactions
   B. Check the box "Mark all transactions for printing" to select all transactions.
4. Click **Print Preview** to format transaction(s) for printing (formatting may take up to one minute). This will open in a separate browser window.

5. Click the “Print” button on your browser, or press Ctrl + P then “OK” to print the transactions. One transaction will be printed per page.
6. Click the “Close” **[X]** button to close the printing window.



Please Note: Pop-up Blockers may prevent the **Print Preview** function from operating. To temporarily disable a pop-up blocker, hold the **Ctrl** button down on your keyboard while clicking on the **Print Preview** button.

<u>**NOTE FOR NETSCAPE USERS**</u>: When using the “Mark all transactions for printing,” the pages are not paginating correctly. In order to print one transaction per page, you must print each transaction individually. In addition, only the first page, up to a total of 11 transactions, can be printed. For this reason, if you desire to print your transactions, you should limit each batch to no more than 11 transactions per batch.

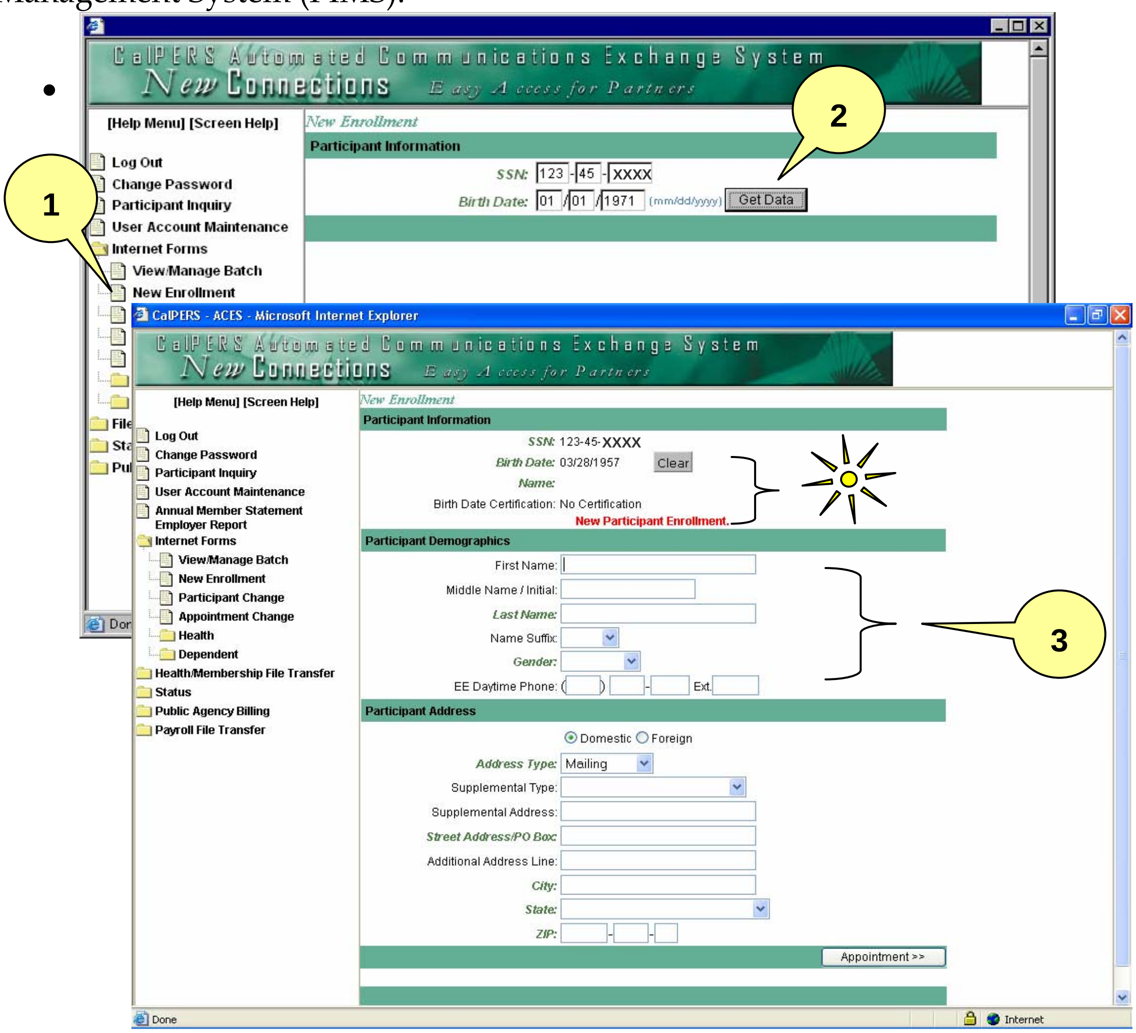
New Enrollment

Use the **New Enrollment** function to add a new PERS appointment, with or without an attached health enrollment, or Non-PERS/STRS appointment with health enrollment. **

> If the Participant has been previously enrolled for CalPERS Retirement benefits with your organization and is now enrolling for Health benefits only, use the **New Health Enrollment** screen.

1. Select **New Enrollment** from the Internet Forms folder on the Navigation Tree.
2. Enter the Participant's SSN (Social Security Number) and Birth Date, and click **Get Data** or press **Enter**.

NOTE: State Employers (with the exception of Non-Central agencies) cannot enroll employees directly into CalPERS membership through ACES – this **must** be done through the State Controller's Office Personnel Information Management System (PIMS).

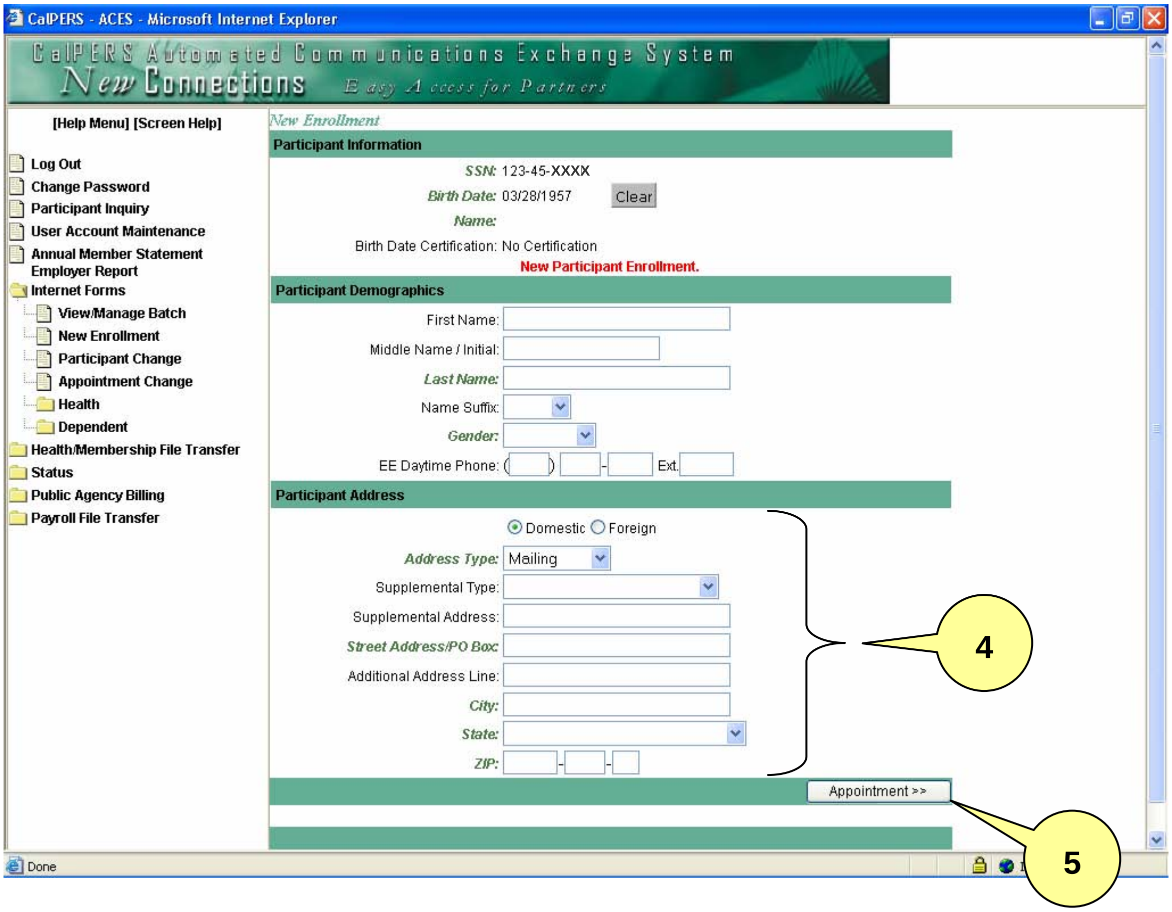


Birth Date Certification: Indicates whether the birth date currently on record has been certified with specific documents by CalPERS. If you believe a certified birth date is incorrect, you must contact CalPERS to have it changed.

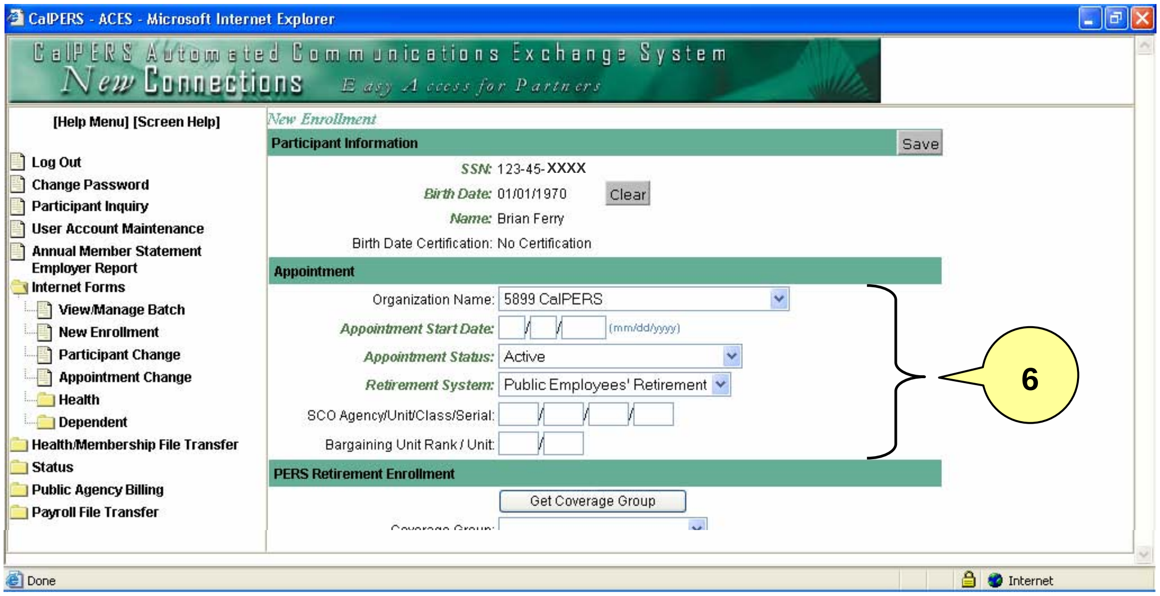
- If the Participant does not have a pre-existing appointment, the message **New Participant Enrollment** appears in the Participant Information section. Birth Date Certification will display a status of "No Certification." Continue to Step 3.

3. If the Participant has a pre-existing appointment (i.e., enrollment with a previous employer), previous demographic information appears. If the information is correct, go to Step 4. If the information is incorrect, update the information. For new enrollments with no existing information in the system, first enter demographic data (***green/bold/italic*** fields are required):

- First name
- Middle name/initial
- ***Last name***
- Name suffix
- ***Gender***
- Employee's (EE) daytime telephone number



4. Enter Participant's address.
   - Domestic or Foreign Address Type (the default is Domestic)
   - *Address Type* (the default is Mailing)
   - Supplemental Address Type
   - Supplemental Address Line (prints above address line to be used with Supplemental Address Type)
   - *Street Address /PO Box*
   - Additional Address Line
   - *City*
   - *State*
   - *ZIP* (only first five digits are required)
5. Click **Appointment** to advance to the next New Enrollment screen.



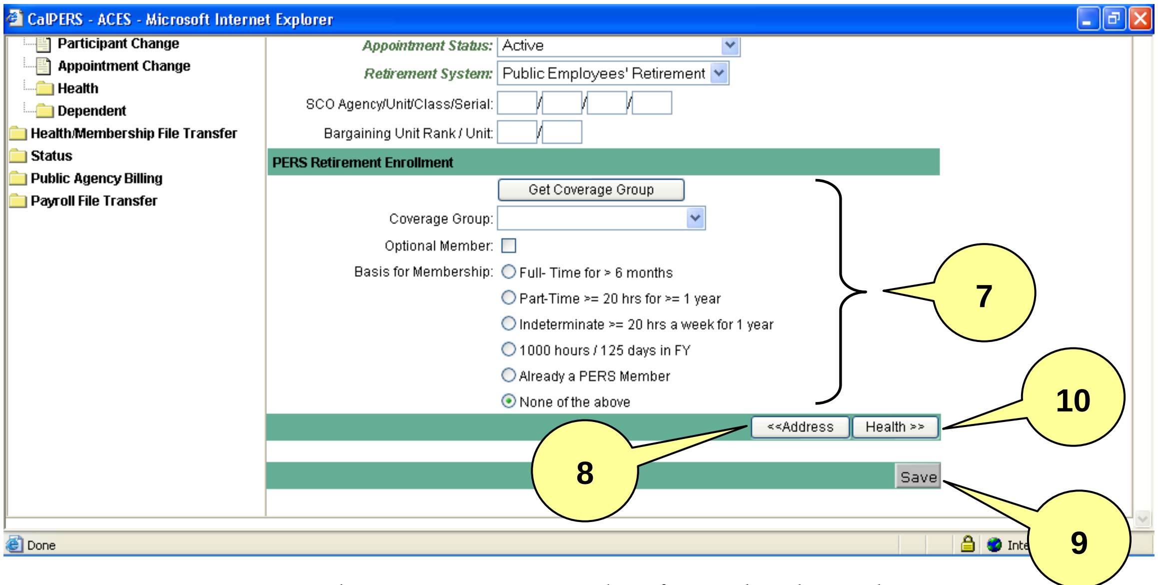
6. Enter Appointment information.

- Organization name. Your organization name automatically populates this field. (If you are a registration servicer who processes transactions for other agencies, select the name of the member's agency from the drop-down menu.)
- *Appointment Status* (the default status is Active)
- *Retirement System* (the default is CalPERS)

Only State Employers will see the following fields (Note: Legislative employers should *not* enter data into these fields):

- *SCO Agency/Unit/Class/Serial* (use the most current external position number)
- *Bargaining Unit Rank/Unit*

7. Click the **Get Coverage Group** button in order to populate all valid Coverage Groups associated with the Appointment Start Date. If CalPERS was selected as the retirement system in Step 6, enter the following information:



- Coverage Group. Select appropriate value from the drop-down menu.
- Optional Member: This box should be checked only if the employee is an "Optional" member (such as an elective officer or a legislative employee) that is electing to enter CalPERS membership.

NOTE: For elective officers (e.g., City Council, County Board of Supervisors), the Election of Optional Membership form (AESD-59) must still be signed by the employee and sent to CalPERS.

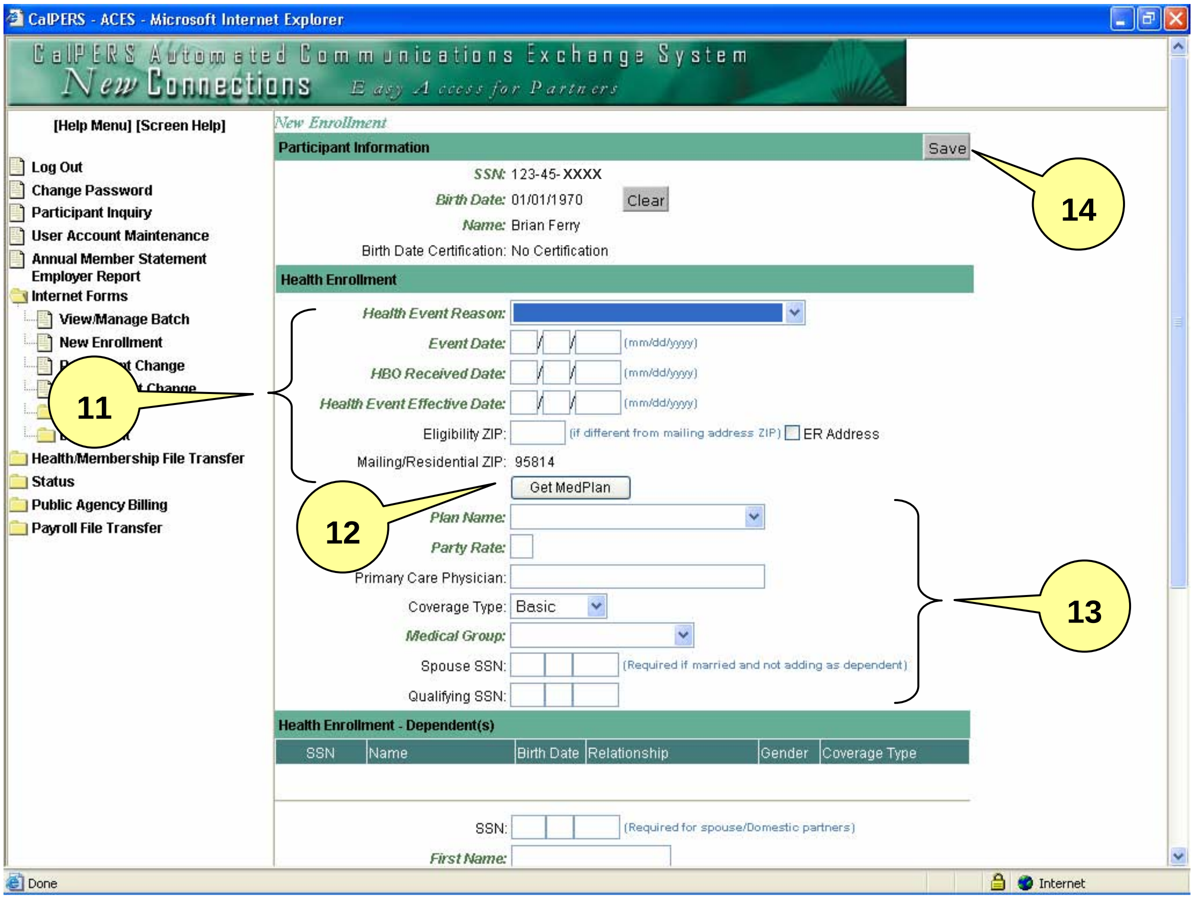
- Basis for Membership. Click the button to select the reason the Participant qualifies for CalPERS membership. (This section is optional. Please refer to the *Public Agency Procedure Manual* for the requirements.)

8. If you wish to view (or have corrections to) demographic or address information, click **Address**. Return to Step 3.

9. If the Participant is only enrolling in Retirement benefits with CalPERS, and all information is correct, click **Save**.

10. If the Participant is also enrolling in Health benefits with CalPERS, click the **Health** button to attach the health enrollment to the eligible appointment.

Don't forget to submit your batch via View/Manage Batch!



11. Enter Health Enrollment information (***green/bold/italic*** fields are required):

- ***Health Event Reason***
- ***Event Date***
- ***Health Benefits Officer (HBO) Received Date***
- ***Health Event Effective Date***

12. Click **Get MedPlan.** This queries ACES for all Medical Groups and Health Plans effective on the health event effective date (this includes future effective dates) for the participant's ZIP code. The ***Plan Name*** will populate in the drop-down list for selection. Choose the appropriate plan (both State agency and Public agency plan codes are shown).

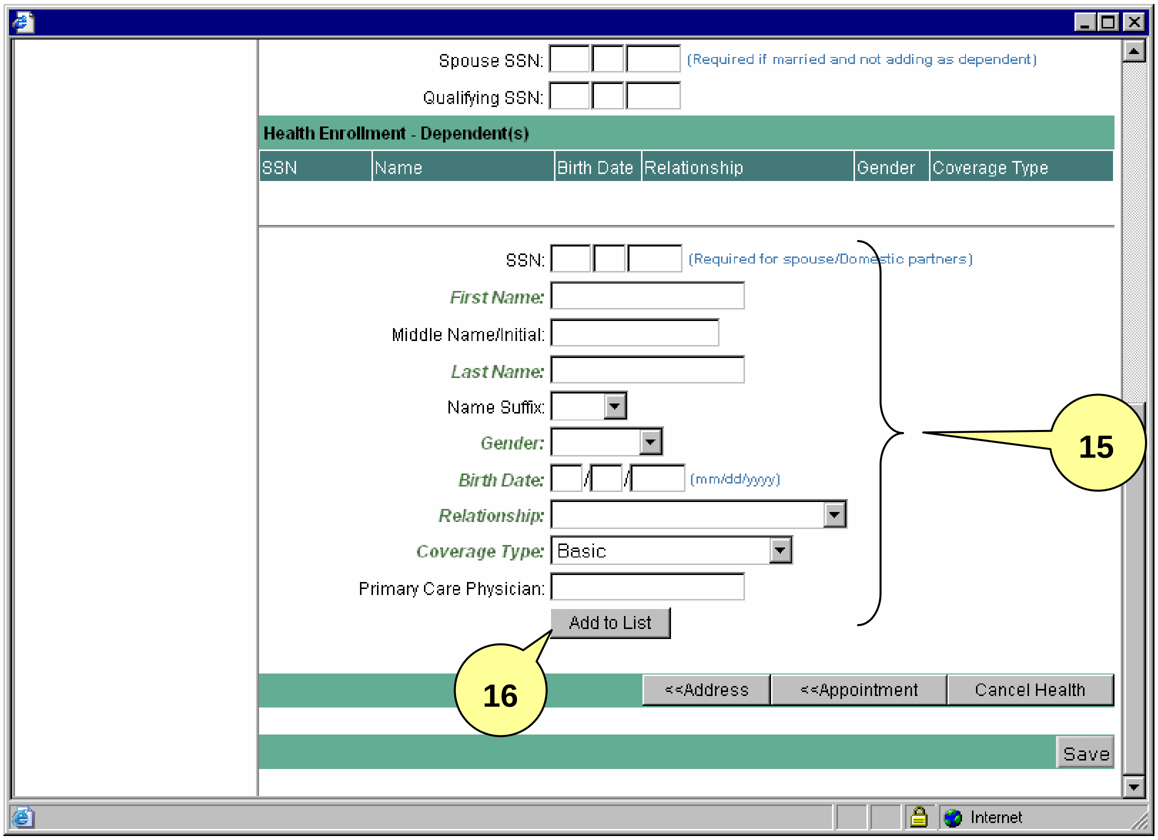
13. Continue to enter Health Enrollment information:

- ***Plan Name*** (ACES provides a list of available plans)
- ***Party Rate*** (See Glossary or on-line Help for definition)
- Eligibility ZIP (Complete this field only if Residence or Employer ZIP used for eligibility is different from mailing ZIP code)
- ER Address (Check this box when the enrollment is based on the Employer's ZIP Code)
- Primary Care Physician

- Coverage Type (the default is Basic)
- ***Medical Group*** (State Agencies will not see this field. This applies to public agency and school district employees only; the employee's recognized employee group associated with the contract (resolution) for health benefits.)
- Spouse SSN. Required if married or registered domestic partner, unless spouse or domestic partner will also be a dependent on Participant's Health coverage; in that case their SSN is entered in the Add Dependent list (see Step 15)
- Qualifying SSN (Required when enrolling in own right due to loss of other CalPERS coverage)

Don't forget to submit your batch via View/Manage Batch!

14. If Participant has dependents to enroll, go to Step 15. If no dependents, click **Save**.



15. To enroll dependents, enter dependent information (***green/bold/italic*** fields are required.)

- SSN (Required for dependent who is a spouse or domestic partner. Users are also encouraged to enter SSNs for **all** dependents if possible.)
- ***First Name***
- Middle Name/Initial
- ***Last Name***
- Name Suffix
- ***Gender***
- ***Birth Date***
- ***Relationship***
- ***Coverage Type*** (the default is Basic)
- Primary Care Physician

16. When you have entered all required information, click **Add to List.** *If this step is skipped, dependent information will not be sent to CalPERS.*

- If this is the only dependent to be added, go to Step 20
- To enroll additional dependents, return to Step 15

***** ATTENTION *****

Previously Existing Dependents:

If an employee previously had health coverage from CalPERS through another employer, any previous dependents will be listed in the Dependent List. In order for the dependents to become active under the new plan, you must select the dependent name of each dependent. The ***Coverage Type*** then defaults to "Basic." Click **Update List**, then save your transaction.

For more information about dependents, see the section Internet Forms: Dependent.

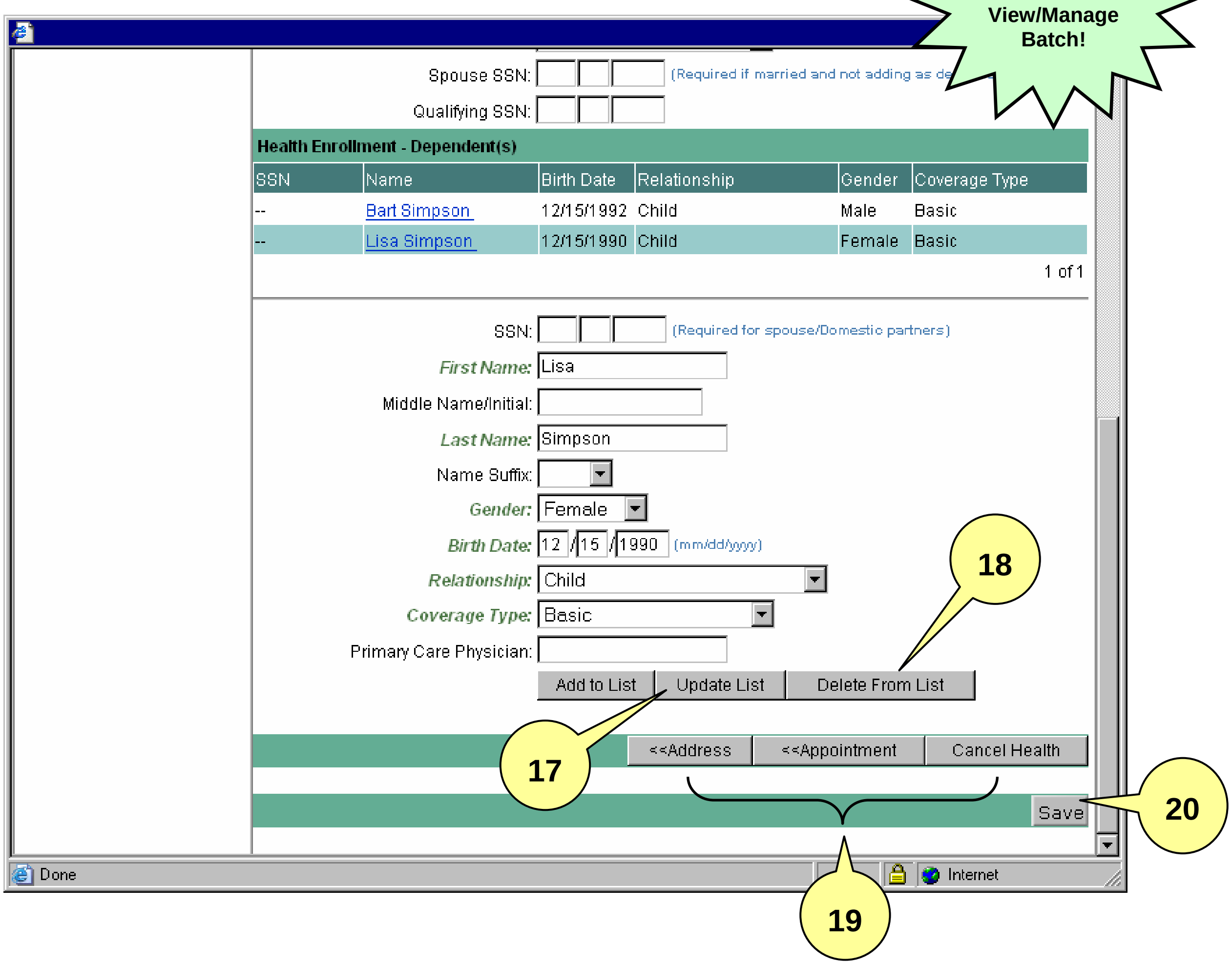
- To add, change, or delete information for a dependent you've just added, go to Steps 17-18
- To add, change, or delete the *Participant's* demographic/address information, go to Step 19

17. To make changes to a dependent you've just added (but before you've saved), click on the dependent's name. When information appears, make the desired changes. Click **Update List**. (Do NOT click **Add to List**; otherwise, another dependent will be created.) When you are satisfied that all information is correct, go to Step 20.

18. To delete a dependent you've just added (but before you've saved), click on the dependent's name. When information appears, click **Delete From List**. When you are satisfied that all information is correct, go to Step 20.

19. If you need to correct or add information to the Participant's address or appointment information, click **Address** or **Appointment**. If you have added this health enrollment in error, click **Cancel Health**.

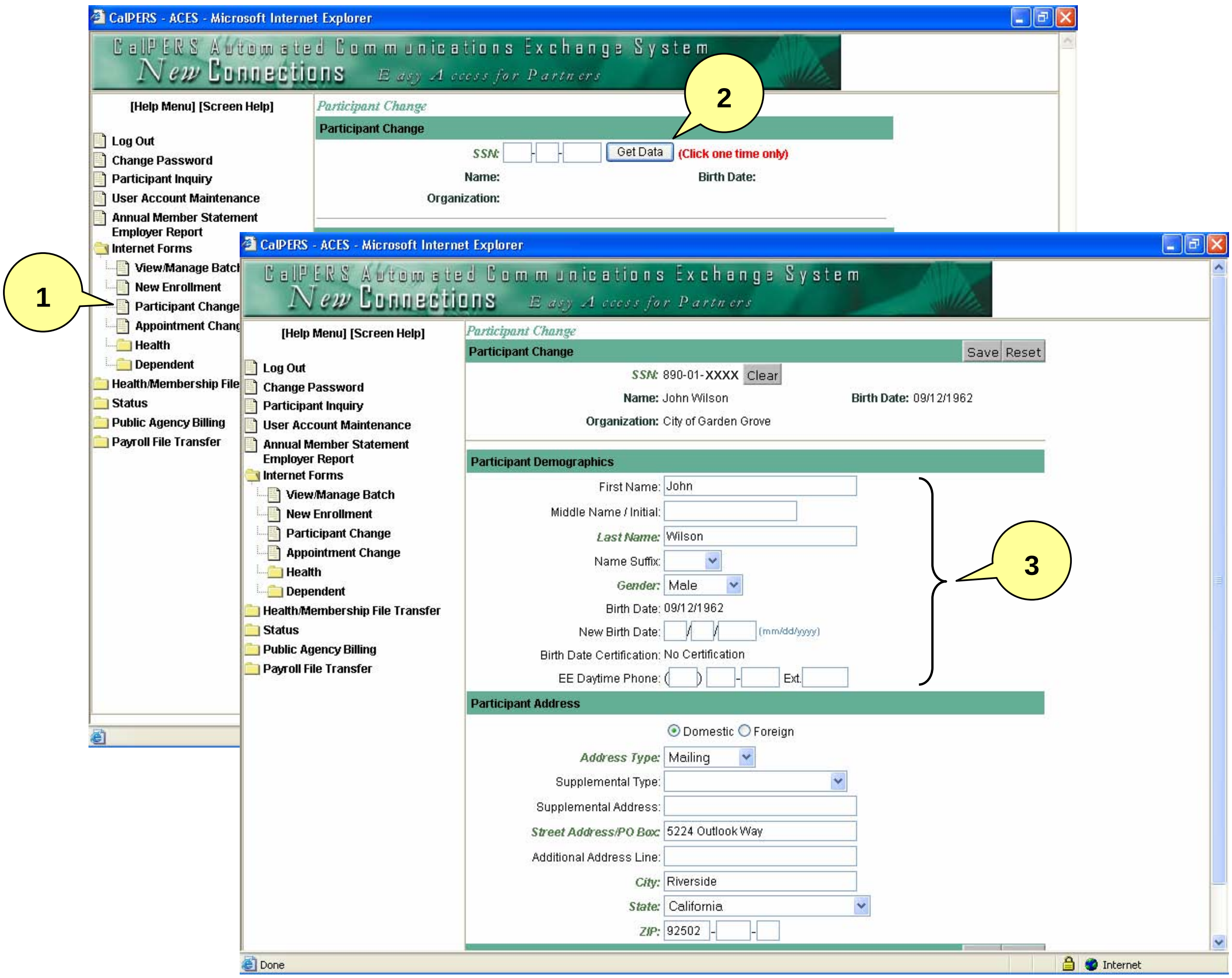
20. When all adds/changes/deletes are completed, click **Save**.



Participant Change

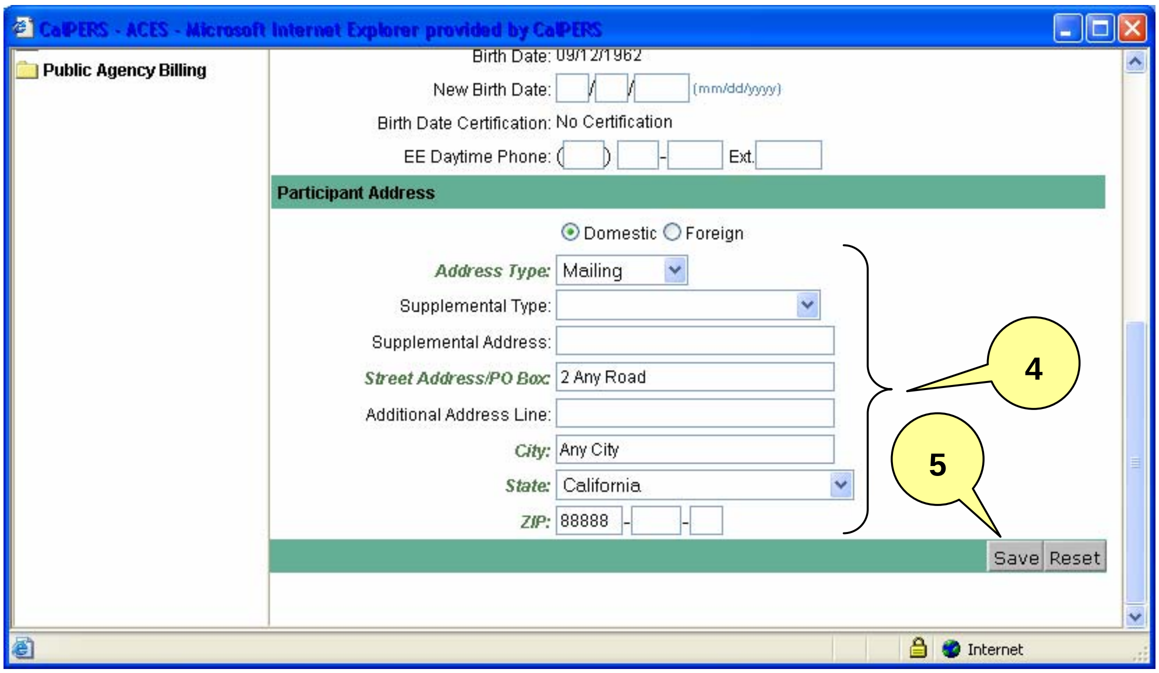
Use this function to edit an existing Participant's demographic information.

1. From the Internet Forms folder on the Navigation Tree, select **Participant Change**.
2. Enter the Participant's SSN and click **Get Data** or press **Enter**. The Participant's previously entered information appears in two sections: **Participant Demographics** and **Participant Address**.



3. **Participant Demographics**: Change or add desired information at the fields listed below (remember that ***green/bold/italic*** fields are required):
   - First Name
   - Middle Name/Initial
   - ***Last Name***

- Name Suffix
- *Gender*
- Birth Date (Date currently on file is displayed here)
- New Birth Date (Note: If there is a birth date certification, this change cannot be made via ACES. Contact us at 888 CalPERS (or 888-225-7377) to have this change applied.)



4. **Participant Address**: Change address information by altering the following:
   - Domestic/Foreign address type (the default is Domestic)
   - *Address Type* (the default is Mailing)
   - Supplemental Address Type
   - Supplemental Address Line (prints above address line to be used with Supplemental Address Type)
   - *Street Address/PO Box*
   - Additional Address Line
   - *City*
   - *State*
   - *ZIP* (Only first five digits are required)

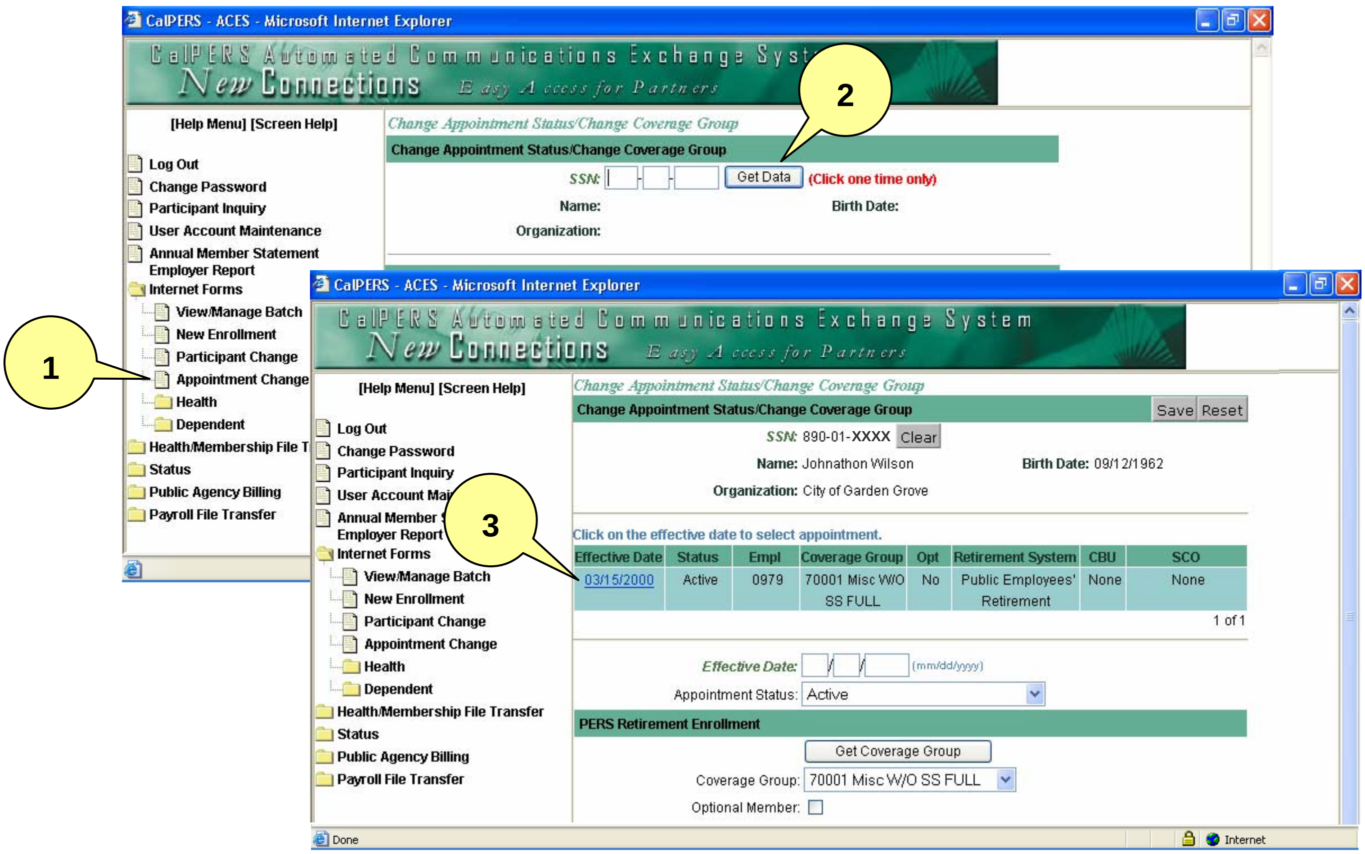
5. When all changes are complete, click **Save**.
   NOTE: The effective date of this transaction will be the date the transaction is processed.

Don't forget to submit your batch via View/Manage Batch!

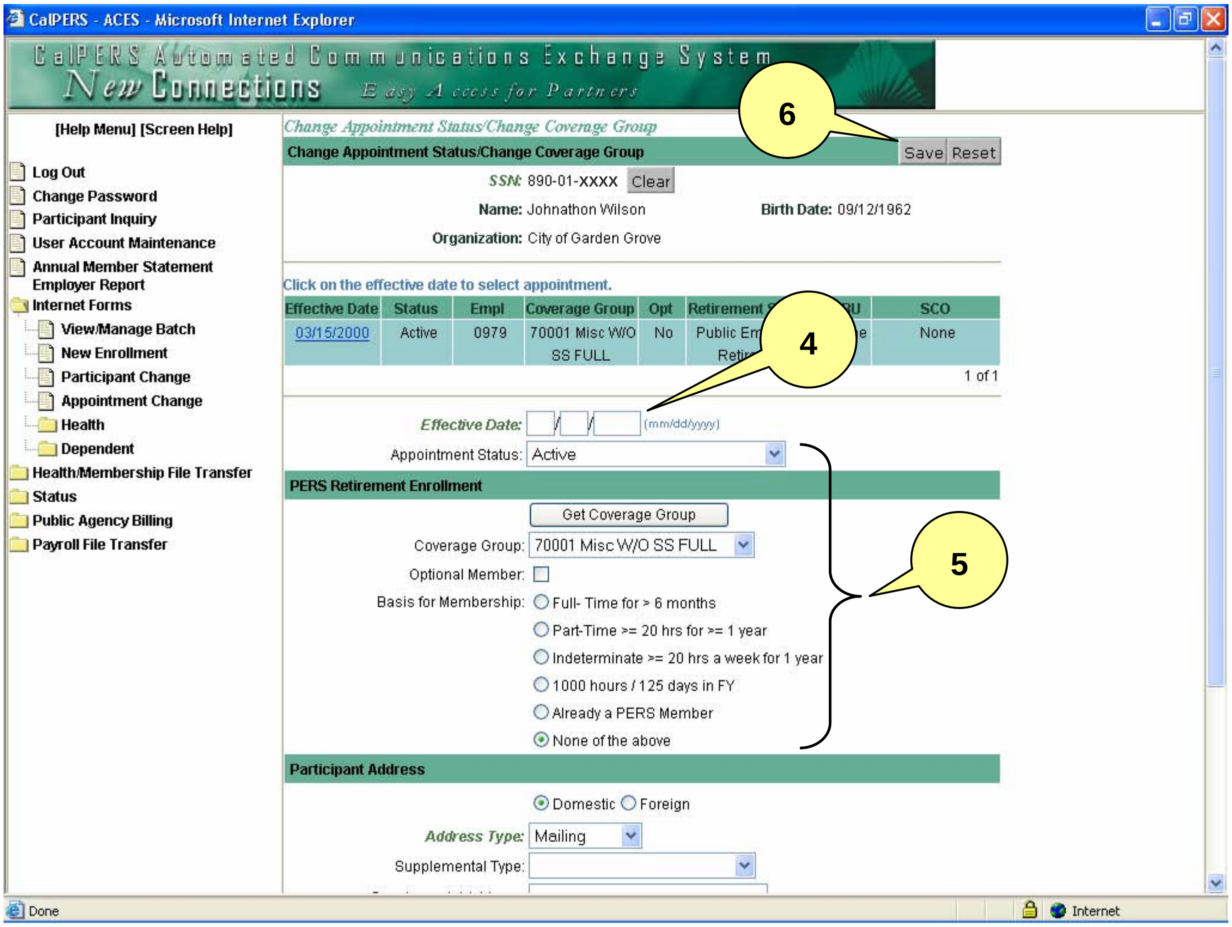
Appointment Change

The **Change Appointment Status /Coverage Group** changes a Participant's appointment status and/or coverage group. You may also change the Participant's address at the same time.

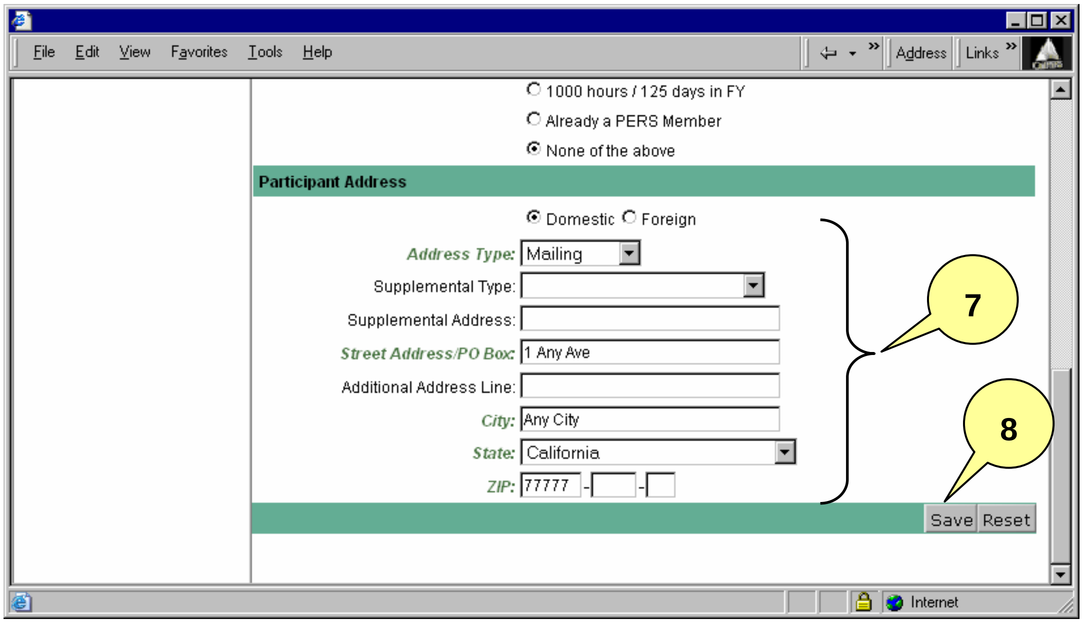
(Appointment Status definitions are listed at the end of the function instructions.)



1. Open the Internet Forms folder and click on **Appointment Change**.
2. Enter the Participant's SSN, and click **Get Data** or press **Enter**.
3. You will see the screen as it appears above, with the Participant's appointment history by date. Locate the appointment you wish to view and click on the Effective Date. The fields below will populate with appointment information. (If the Participant has more than five appointments, click **Previous** or **Next** to scroll through the history.)



4. Enter the *Effective Date* of change.
5. Change any applicable information as follows:
   - Appointment Status (See Page 41 for definition of options)
   - Click **Get Coverage Group** and change the Coverage Group
   - Optional Member (if applicable)
   - Basis for Membership (if applicable, refer to *Public Agency Procedure Manual* for definitions)
6. If this completes the changes, click **Save**. If you need to change the Participant's address as well, scroll down the page and continue to Step 7.



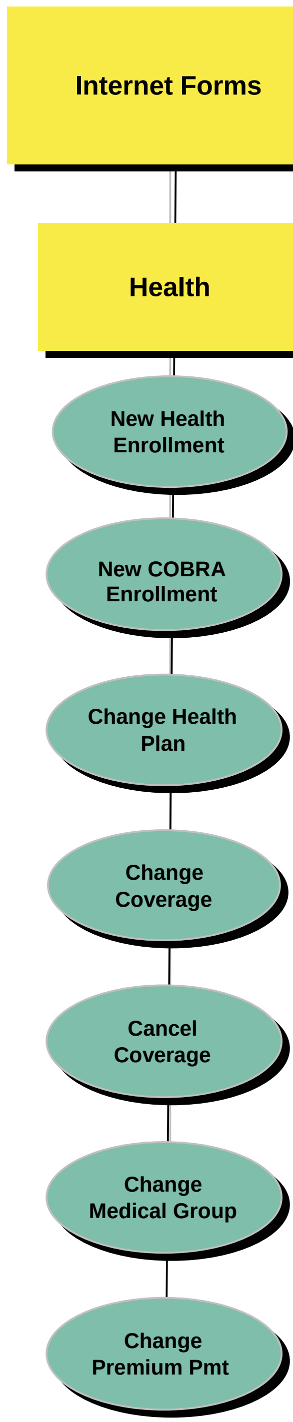
7. Change address information by altering the following:
   - Domestic/Foreign address type (the default is Domestic)
   - *Address Type* (the default is Mailing)
   - Supplemental Address Type
   - Supplemental Address Line (prints above address line to be used with Supplemental Address Type)
   - *Street Address/PO Box*
   - Additional Address Line
   - *City*
   - *State*
   - *ZIP* (Only first five digits are required)
8. When all changes are complete, click **Save**.

Appointment Status Definitions

STATUS	DEFINITION
Active	Currently working in this position, or has returned from a leave.
Educational Leave (State employees only)	Leave is granted for the purpose of further education.
Family Leave of Absence	Approved maternity/paternity leave.
Industrial Disability Leave	Worker in a safety classification placed on leave for a work-related injury or illness. Available to local miscellaneous employees by contract amendment only.
Layoff	Layoff (or in lieu of involuntary transfer).
Leave of Absence	Select this status only when the Retirement System is JRS1 or JRS2
Maternity/Paternity Leave	Leave granted for the purpose of giving birth, and/or caring for a newborn child.
Military Leave of Absence	Absent from work due to active service with a branch of the United States Armed Forces.
Non-industrial Leave of Absence	Off work and receiving temporary disability payments for a non-job-related injury or illness.
Permanent Separation	Left work with no projected date of return. This status must be granted for Participant to be eligible for refund of CalPERS contributions. Selecting this option opens the Status Reason field. (Note: If employee is granted this status and then returns to work at your agency, you are required to enter a new enrollment for that person).
Sabbatical Leave Full Pay	On approved leave; receiving full compensation for time not worked.
Sabbatical Leave Partial Pay	On approved leave, but is receiving partial compensation.
Service Leave of Absence	On approved leave.
Special Leave of Absence	(State employees only.) Educational LOA, Partial LOA, or Special Leave for Research or Creative Activity.
Temporary Separation	Temporarily separated from employment for a minimum of two (2) months and is expected to return. (NOTE: A separation of fewer than two months is not reported to CalPERS.) Select this status when none of the other status definitions apply.
To Alternate Retirement Plan	A non-vested member who is subject to a G.D. 20306 Retirement Plan is working fewer than 20 hours a week, and must switch from CalPERS coverage to the Alternate Retirement Plan.
Workers Compensation Leave	Worker in “miscellaneous” (i.e., non-safety) classification is placed on leave for a work-related injury or illness.

INTERNET FORMS: HEALTH

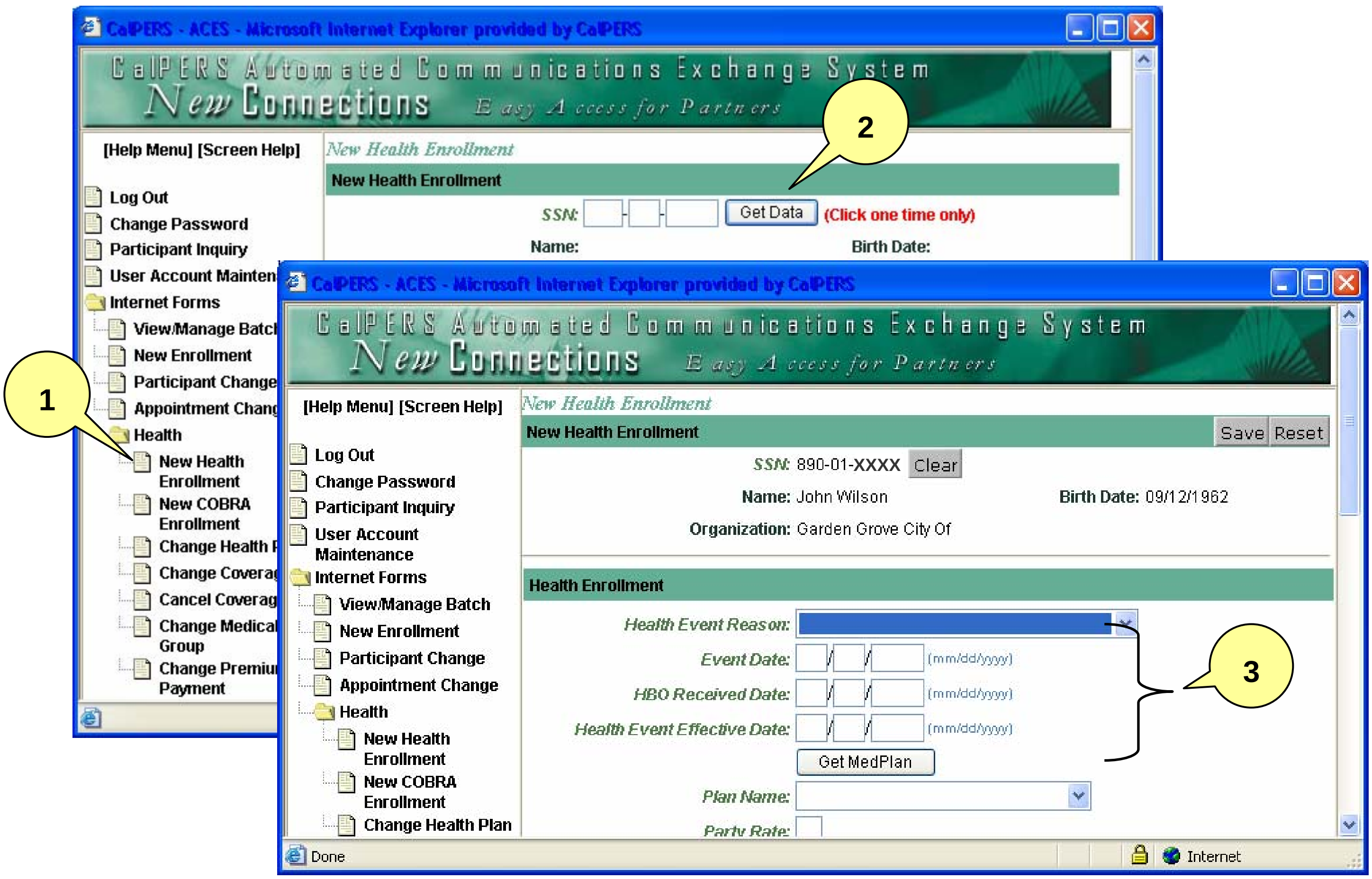
The **Internet Forms Health** function allows employers to submit new enrollment and change information related to a Participant's health benefits. Click on **Internet Forms**, then the **Health** folder to see the functions available to you, as shown in the diagram below.



New Health Enrollment

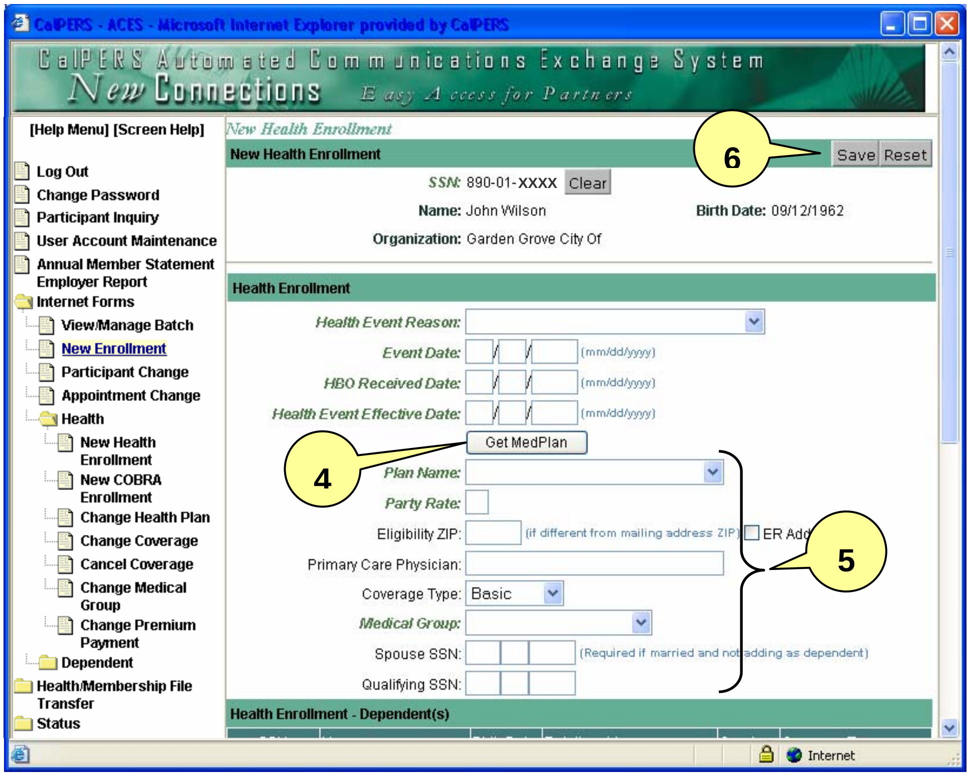
Use **New Health Enrollment** to enroll a Participant in Health coverage if the qualifying appointment already exists.

> If this is an entirely new Participant to your agency (i.e., the Participant does not already have an appointment with your organization), use the Internet Forms: **New Enrollment** screen.



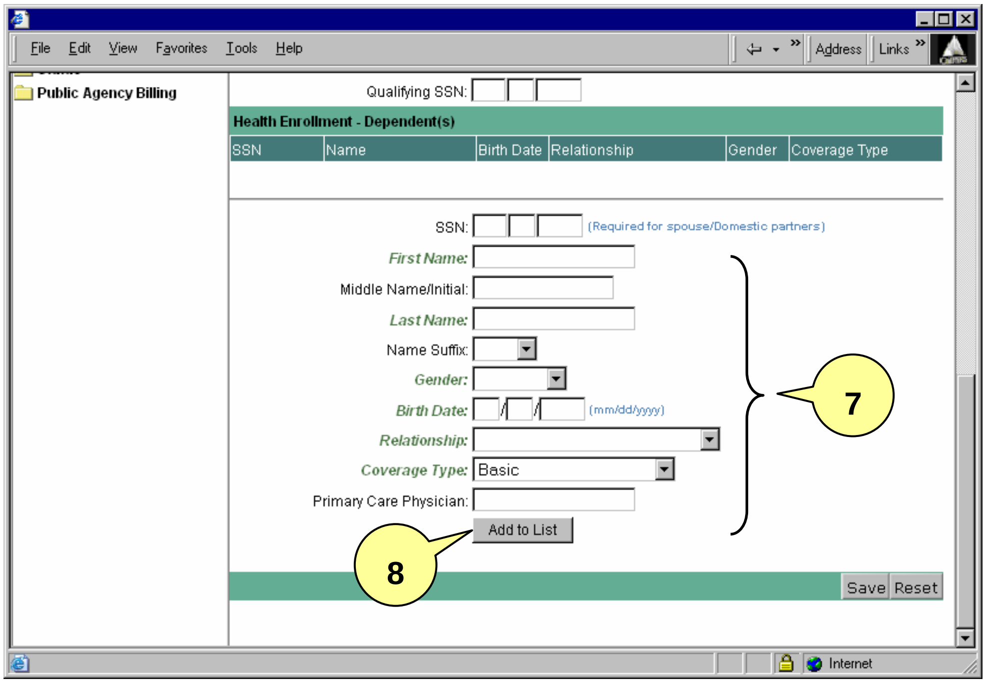
1. Select the **Health** folder under Internet Forms on the Navigation Tree. Click **New Health Enrollment**.
2. Enter the Participant's SSN and click **Get Data** or press **Enter**.
3. If there are multiple appointments on file, select the appropriate one by clicking on the Effective Date. Continue by entering the Health Enrollment information (***green/bold/italic*** fields are required):
   - ***Health Event Reason***
   - ***Event Date***
   - ***Health Benefits Officer (HBO) Received Date***
   - ***Health Event Effective Date***

4. Click **Get MedPlan.** This queries ACES for all Medical Groups and Health Plans effective for the ZIP code on the health event effective date (this includes future effective dates) and populates the ***Plan Name*** drop-down list for selection.



5. Continue to enter Health Enrollment information:

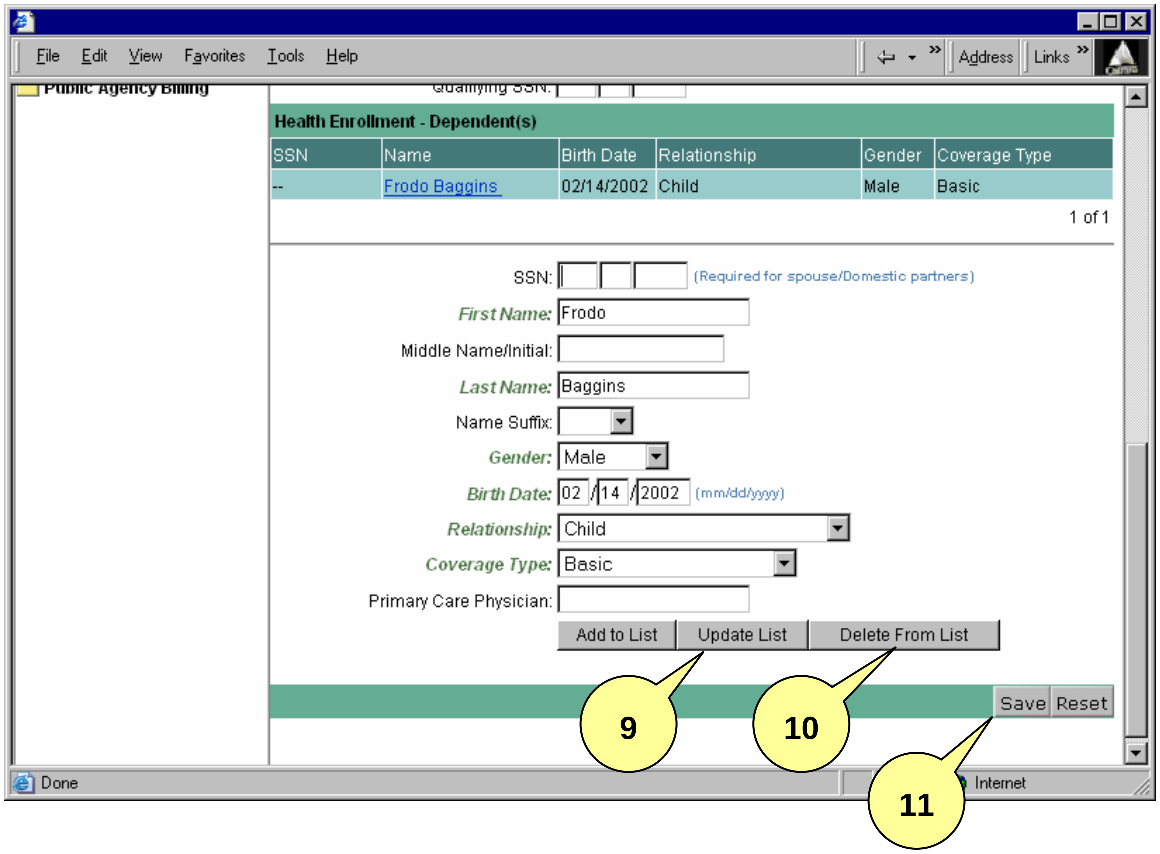
- ***Plan Name*** (Select available plan from drop-down list)
- ***Party Rate*** (See Glossary or on-line Help for definition)
- Eligibility ZIP (Complete this field only if Residence or Employer ZIP used for eligibility is different from mailing ZIP code)
- ER Address (Check this box when the enrollment is based on the Employer's ZIP Code)
- Primary Care Physician
- Coverage Type (The default is Basic)
- ***Medical Group*** (State Agencies will not see this field. This applies to public agency and school district employees only; the recognized employee group associated with the contract (resolution) for health benefits.)
- Spouse SSN (Required if married or registered domestic partner, unless spouse or domestic partner will also be a dependent on Participant's Health coverage; in that case their SSN is entered in Add Dependent [see Step 7])
- Qualifying SSN (Required when enrolling in own right due to loss of other CalPERS coverage)



6. If the Participant has dependents to enroll, go to Step 7. If there are no dependents to enroll, click **Save**.
7. At Health Enrollment – Dependent(s), enter dependent information as follows (***green/bold/italic*** fields are required):
   - Social Security Number (Required for spouse or domestic partners. Users are encouraged to enter SSNs for all dependents)
   - ***First Name***
   - Middle Name/Initial
   - ***Last Name***
   - Name Suffix
   - ***Gender***
   - ***Birth Date***
   - ***Relationship***
   - ***Coverage Type*** (the default is basic)
   - Primary Care Physician

8. When you have entered all ***green/bold/italic*** information and all applicable optional information for the dependent, click **Add to List**. *If this step is skipped, dependent information will not be sent to CalPERS.*
   - If this is the only dependent to be added, go to Step 11
   - To enroll additional dependents, repeat Steps 7 and 8
   - If you want to correct or change information after you have clicked **Add to List**, go to Step 9

Don't forget to submit your batch via View/Manage Batch!



9. To make changes to a dependent you have just added (but not yet saved), click on the dependent name. When information previously entered appears, make desired changes. Click **Update List**.

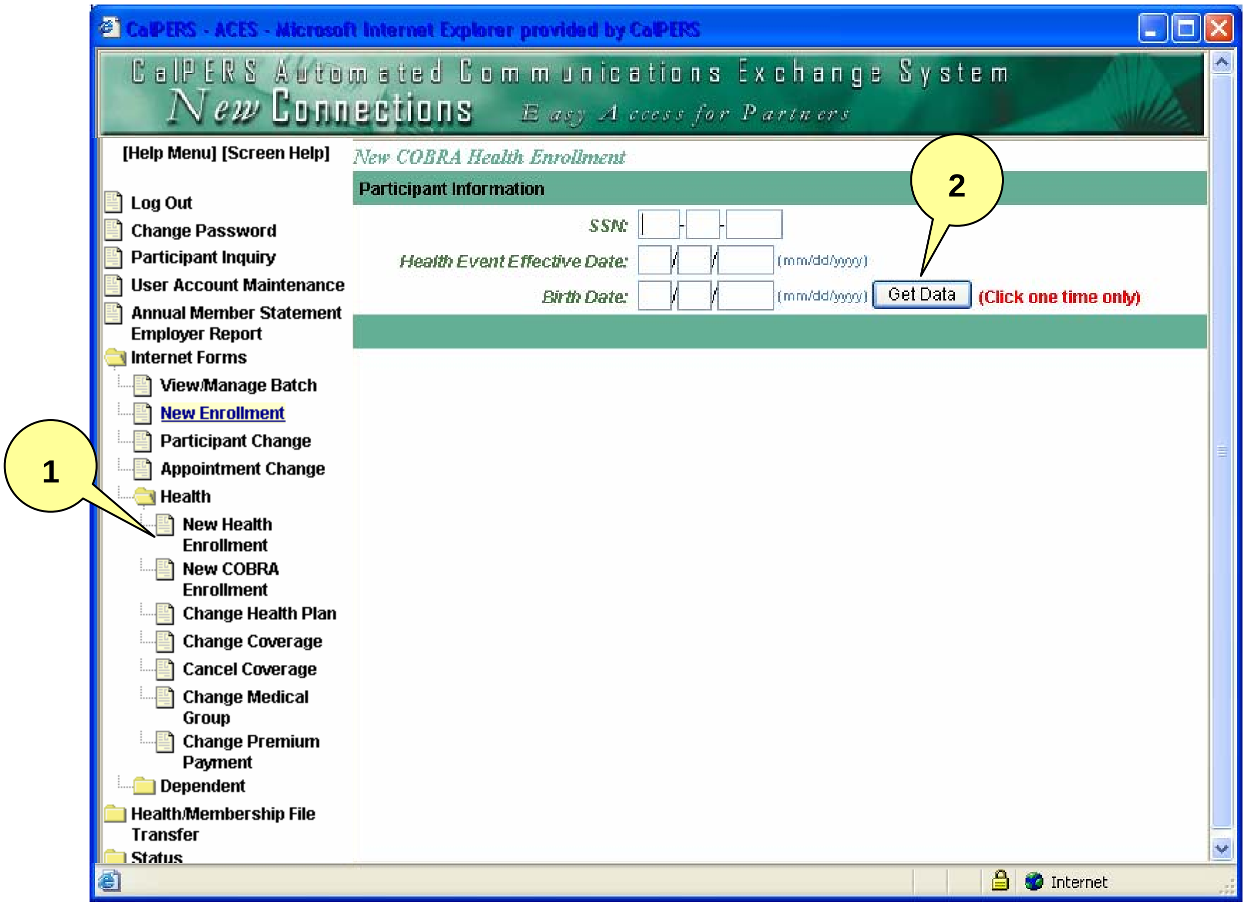
10. To delete a dependent you have just added to the dependent list (but not yet saved), click on dependent name. The information previously entered for this dependent appears. Click **Delete from List**.

11. When all adds/changes/deletes are completed, click **Save**.

Don't forget to submit your batch via View/Manage Batch!

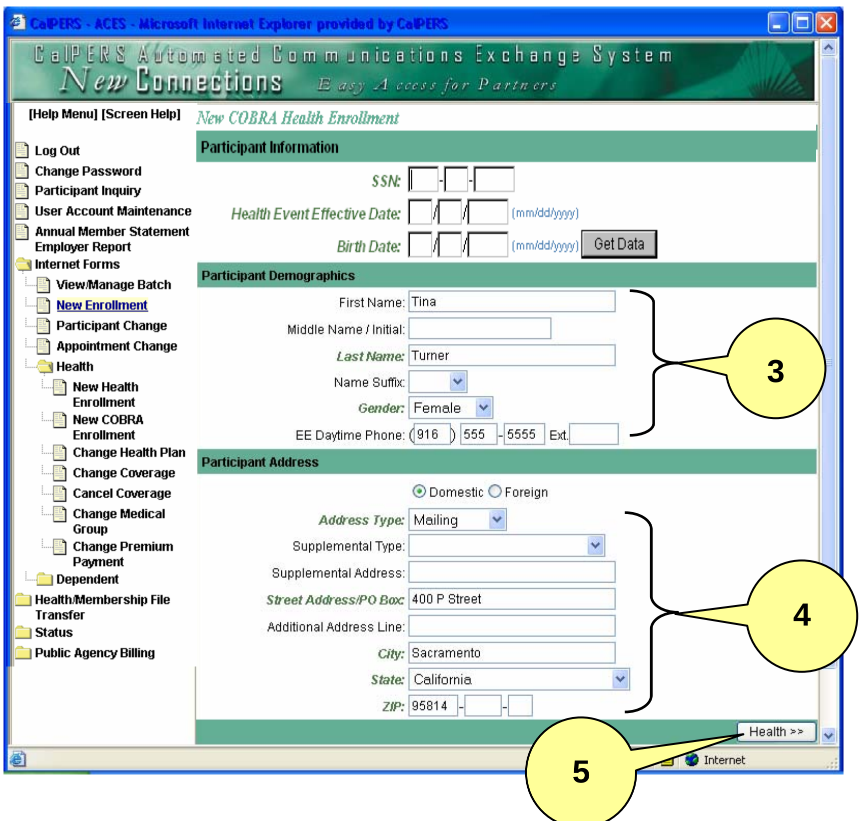
New COBRA Enrollment

1. From the Health folder in the Navigation Tree, select **New COBRA Enrollment**.
2. Enter the COBRA participant's SSN, Health Event Effective Date, and Birth Date. Click **Get Data** or press **Enter**.



3. Verify or enter the following (***green/bold/italic*** fields are required):

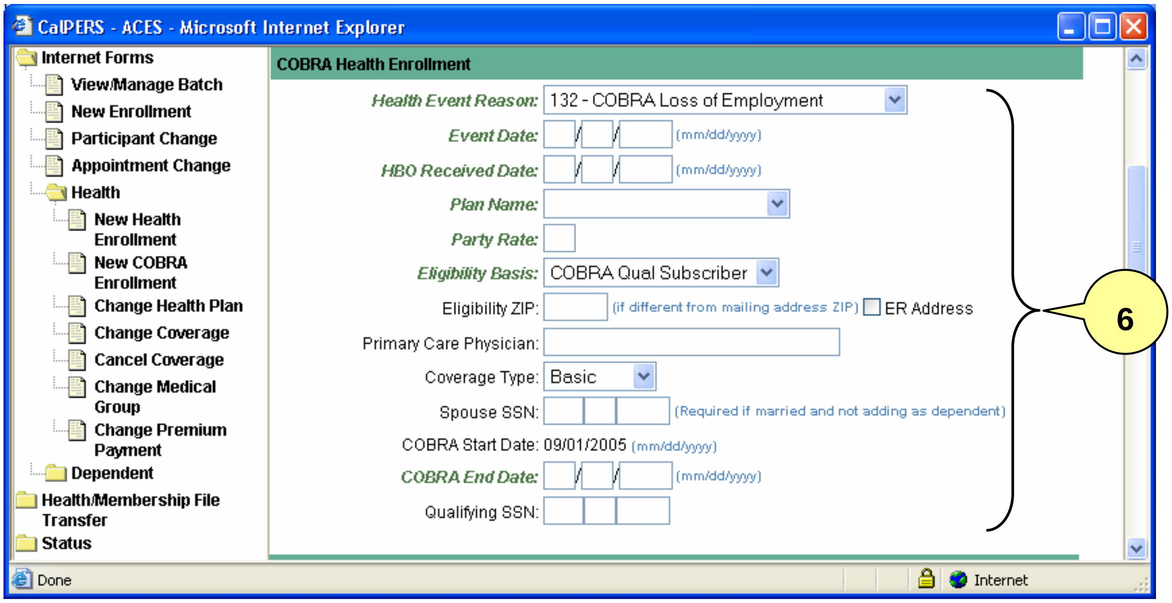
- First name
- Middle name/initial
- ***Last name***
- Name suffix
- ***Gender***
- Employee's (EE) daytime telephone number



4. Verify or enter Participant's address.

- Domestic or Foreign Address Type (the default is Domestic)
- ***Address Type*** (the default is Mailing)
- Supplemental Address Type
- Supplemental Address Line (prints above address line to be used with Supplemental Address Type)
- ***Street Address/PO Box***
- Additional Address Line
- ***City***
- ***State***
- ***ZIP*** (only first five digits are required)

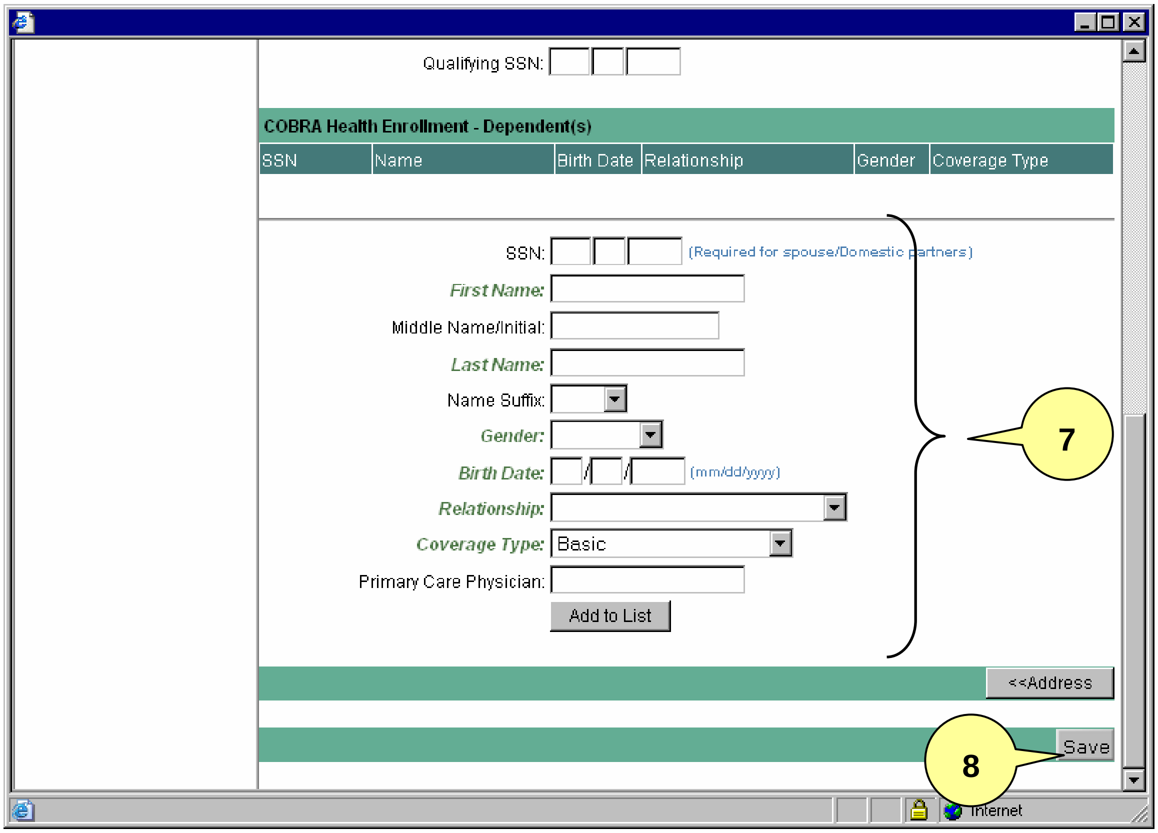
5. Click **Health**.



6. Enter the COBRA Health Enrollment information (***green/bold/italic*** fields are required):

- ***Health Event Reason***
- ***Event Date***
- ***Health Benefits Officer (HBO) Received Date***
- ***Plan Name*** (ACES provides a list of all plans, including plans which may not be in participant's ZIP code)
- ***Party Rate*** (See Glossary or on-line Help for definition)
- ***Eligibility Basis*** (This field will appear if the Health Event Reason Code selected is 131, 132, 137, or 138. Leave at the default "COBRA Qual Subscriber" [This does not become a required field for dependents.])
- Eligibility ZIP (Complete this field only if necessary to qualify for a specific plan or if different from mailing ZIP code)
- ER Address (Check this box when the enrollment is based on the Employer's ZIP code)
- Primary Care Physician
- Coverage Type (The default is Basic)
- Spouse SSN (Required if married or registered domestic partner, unless spouse or domestic partner will also be a dependent on Participant's Health coverage; in that case their SSN is entered in Add Dependent [see Step 7])
- COBRA Start Date (This field will populate based on the information in Step 2. This is not a changeable field)
- ***COBRA End Date*** (COBRA Beginning and Ending Date information can be accessed by clicking on ***Screen Help,*** scrolling to Step 15 and clicking on the COBRA End Date link)

- Enter Qualifying SSN if the enrollment is for a dependent. The Qualifying SSN is the Social Security Number of the Employee.



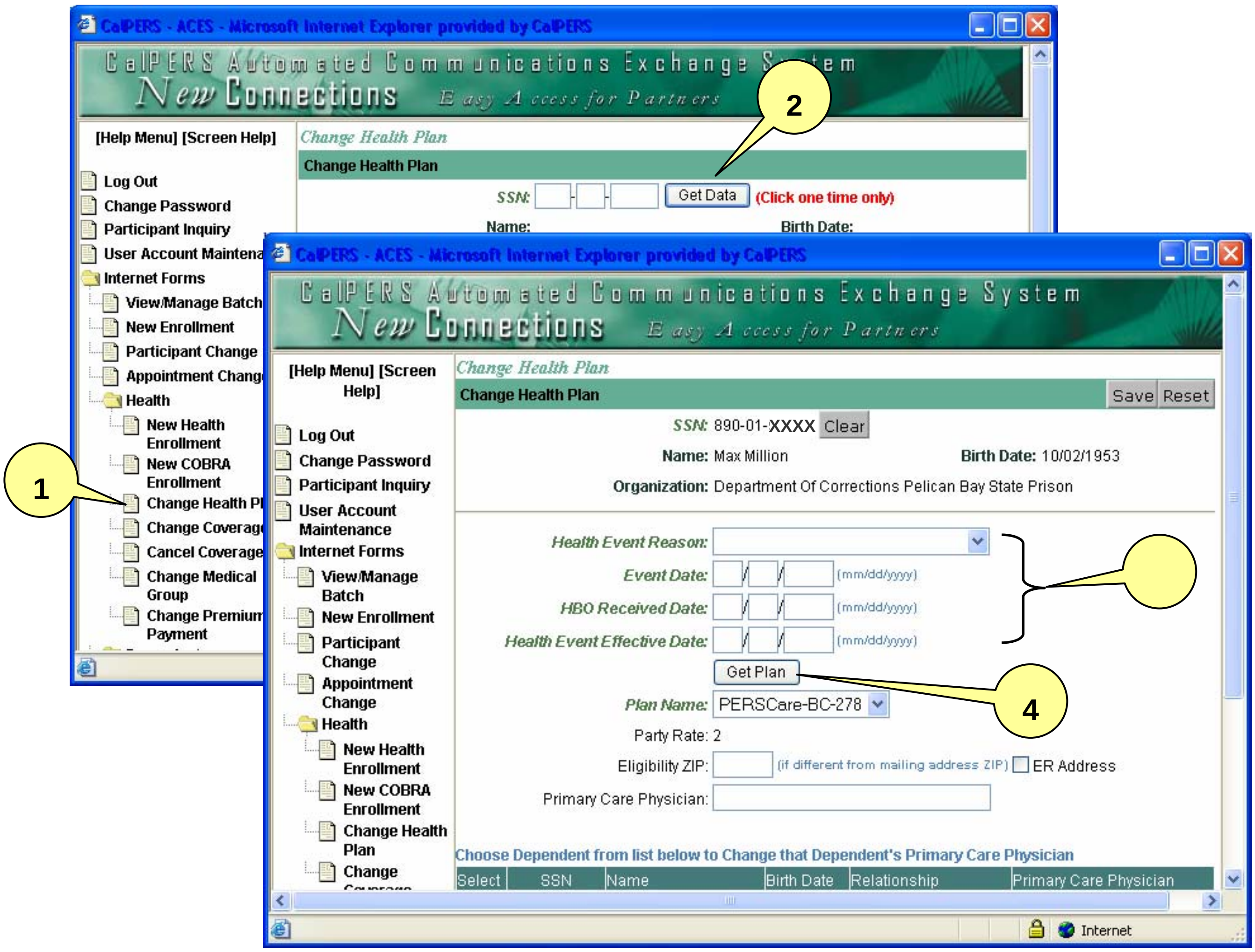
7. If enrolling dependents, scroll down and add dependents or update the coverage type for existing dependents on the list. For additional information about adding dependents, see the New Health Enrollment section in this User Guide.
8. Click **Save**.

Don't forget to submit your batch via View/Manage Batch!

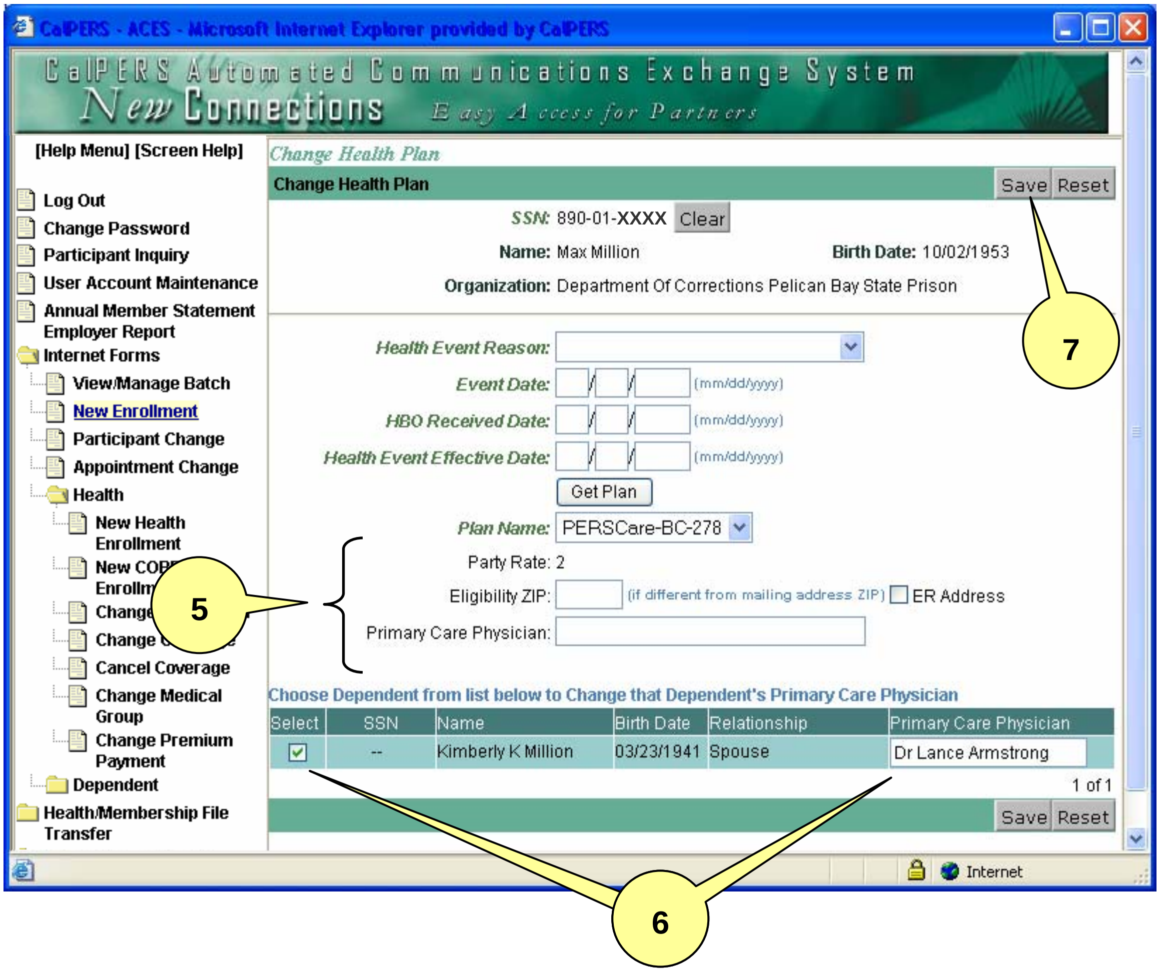
Change Health Plan

Change Health Plan allows you to change an existing Participant's health plan. Use this when you receive a Participant request to change based on a geographical relocation or requests to change received during open enrollment.

1. Open the Internet Forms folder, and click on **Health**, then on **Change Health Plan**.
2. Enter Participant SSN and click **Get Data** or press **Enter**.



3. Enter/edit the following information (*green/bold/italic* fields are required):
   - ***Health Event Reason*** (Select the reason code from the drop-down list)
   - ***Event Date*** (Enter the open enrollment date or date of relocation)
   - ***HBO Received Date*** (Enter date the request was received by employer)
   - ***Health Event Effective Date*** (Enter the effective date of change)
4. Click **Get Plan**. This queries the system for all available Health Plans effective on the effective date and populates the ***Plan Name*** drop-down list. This includes future effective dates.

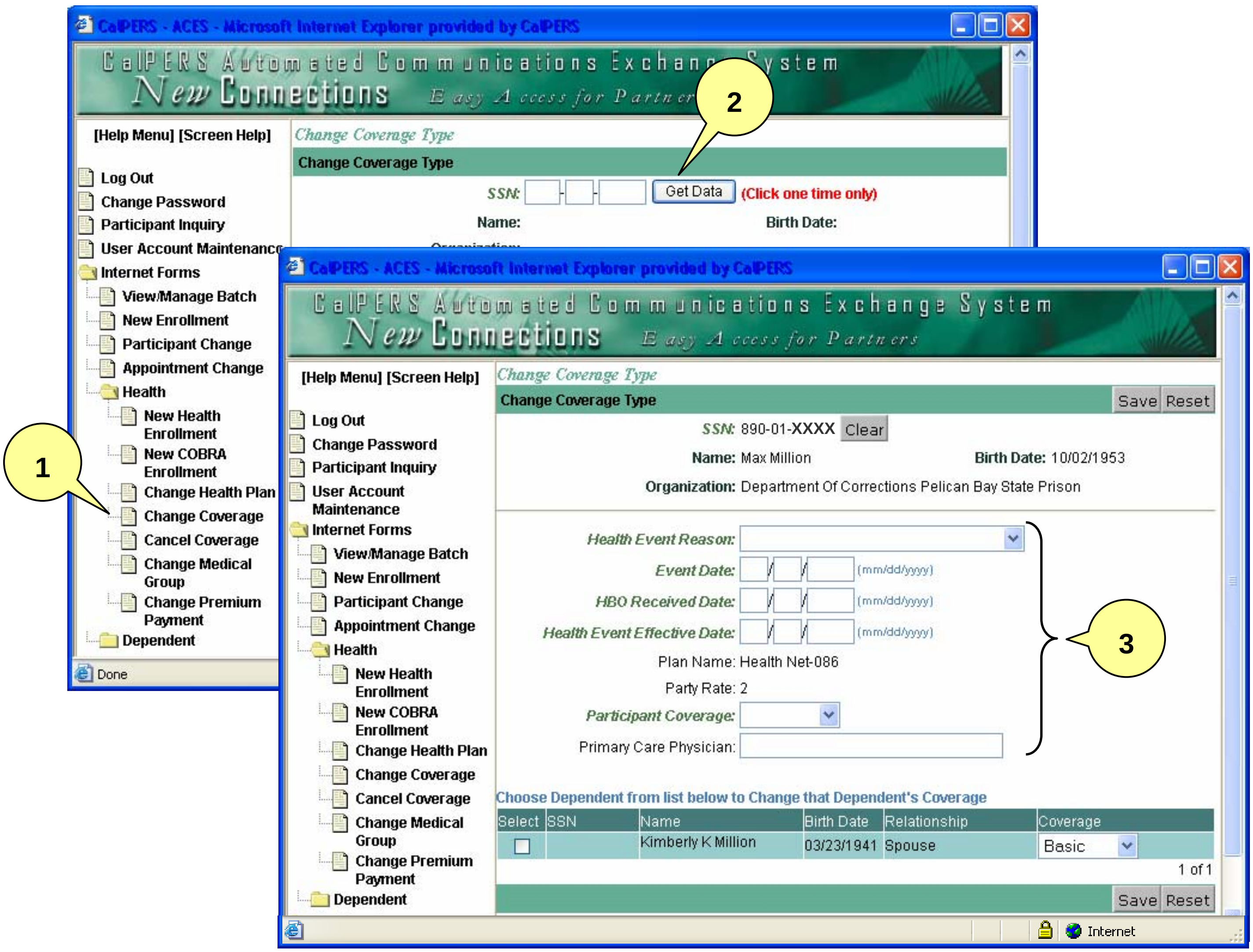


5. Enter/edit the following information (fields in ***green/bold/italic*** required):
   - ***Plan Name*** (The current plan will populate. Select the new plan)
   - Party Rate (This field is not changeable)
   - Eligibility ZIP (Complete this field only if Residence or Employer ZIP used for eligibility is different from mailing ZIP code)
   - ER Address (Check this box if the Eligibility ZIP is the Employer's ZIP Code)
   - Primary Care Physician
6. To add a dependent's Primary Care Physician information, check the box next to the dependent(s), and enter/edit the Primary Care Physician.
7. Click **Save**.

Change Coverage

The **Change Coverage** screen is used to submit a change to a Participant's and/or dependent's coverage type (i.e., from Basic to Medicare).

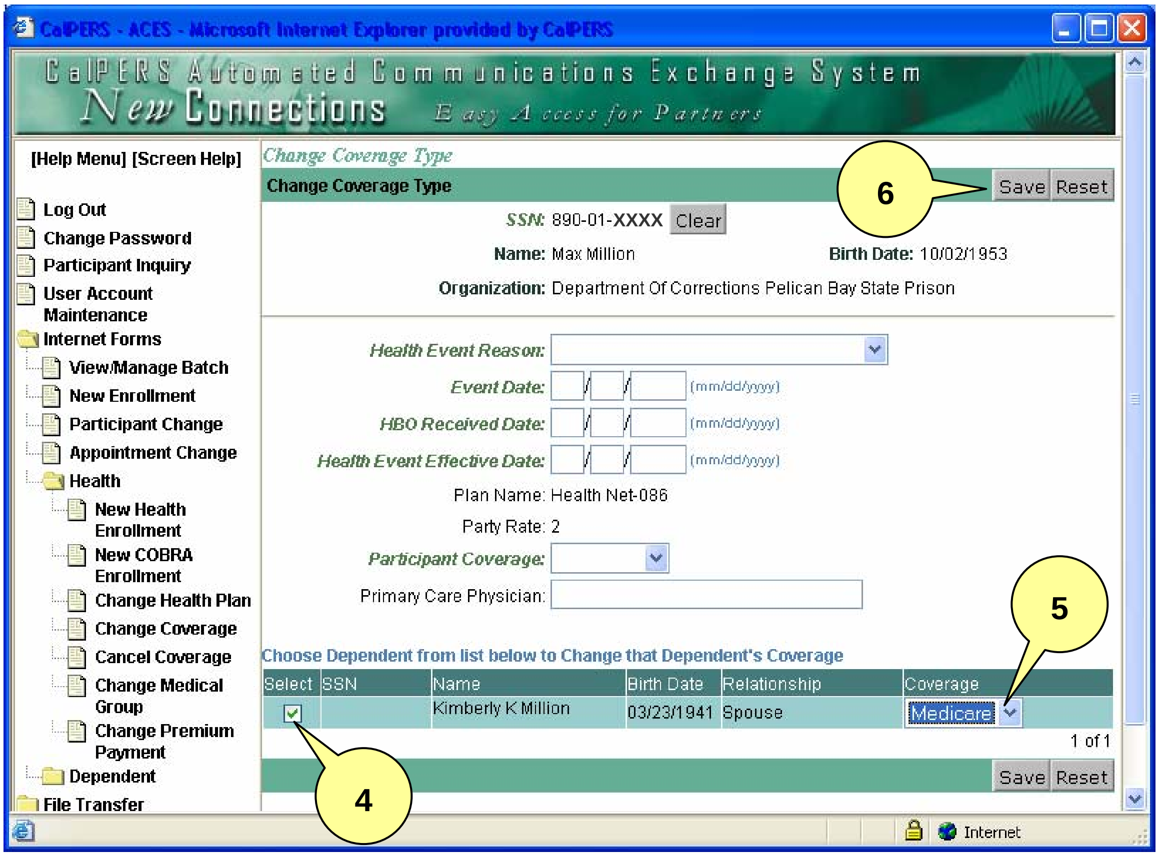
1. Open the Internet Forms folder on the Navigation Tree, then open the **Health** folder and click on **Change Coverage**.
2. Enter the Participant's SSN and click **Get Data** or press **Enter**.



3. Enter/edit the following information (***green/bold/italic*** fields are required):
   - ***Health Event Reason*** (Select the reason code from the drop-down list)
   - ***Event Date*** (e.g., Medicare effective date)
   - ***HBO Received Date*** (Enter the date the request was received by employer)
   - ***Health Event Effective Date*** (Enter the effective date of the change)
   - Plan Name (This field is not changeable)
   - Party Rate (Defaults to current party rate – not an editable field)

- *Participant Coverage* (If this change is for the Participant, select appropriate coverage type and proceed to Step 6. If change is for a dependent, select coverage type of basic, and go to Step 4)

4. Click the box next to the appropriate dependent to place a check mark in the Select column.



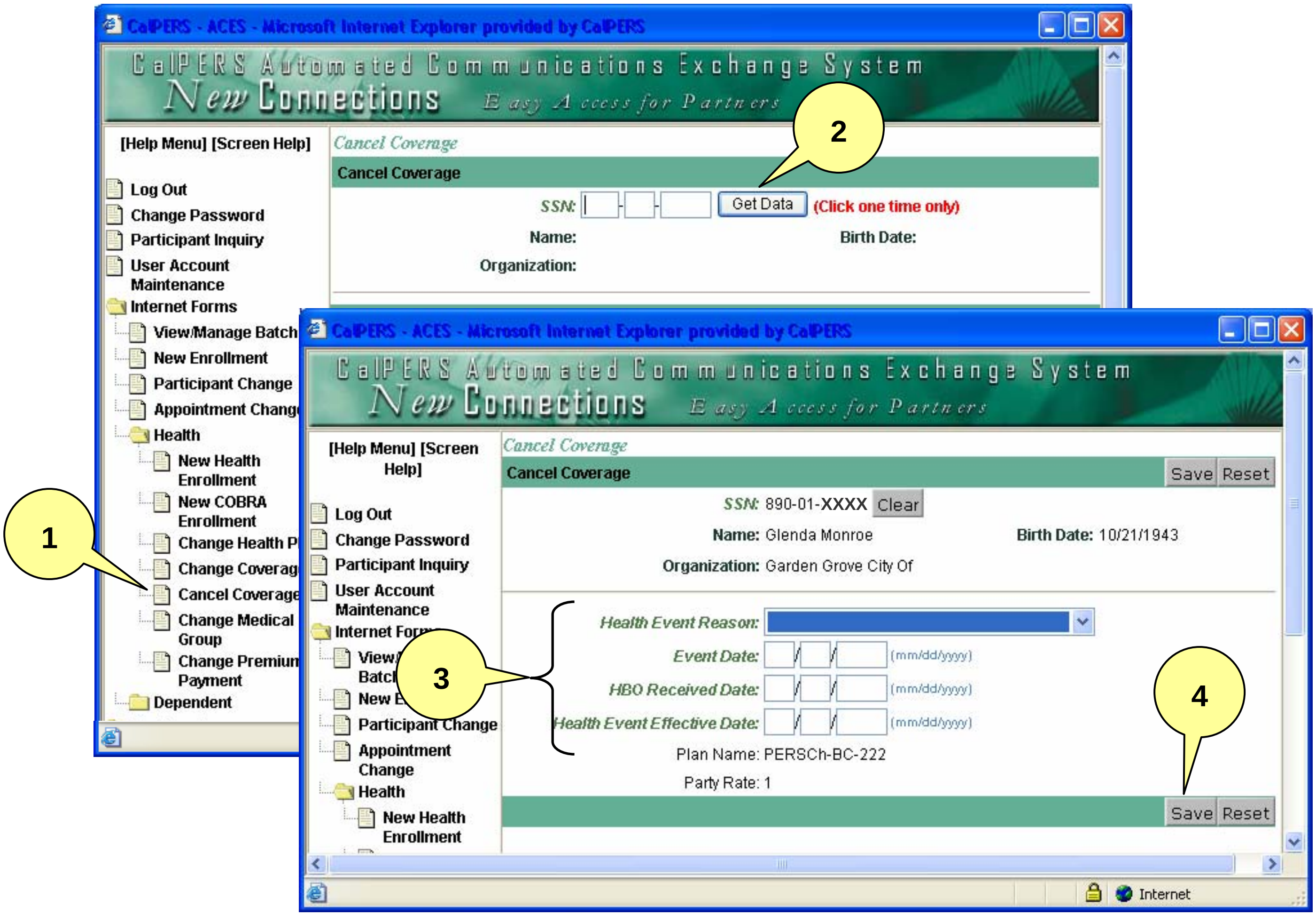
5. Select **Coverage** type from drop-down list.

6. When all Participant and dependent coverage changes have been made, click **Save**.

Cancel Coverage

The **Cancel Coverage** screen is used to cancel a Participant's health coverage.

1. Open the Internet Forms folder, and click on **Health**, then on **Cancel Coverage**.
2. Enter Participant's SSN and click **Get Data** or press **Enter**.

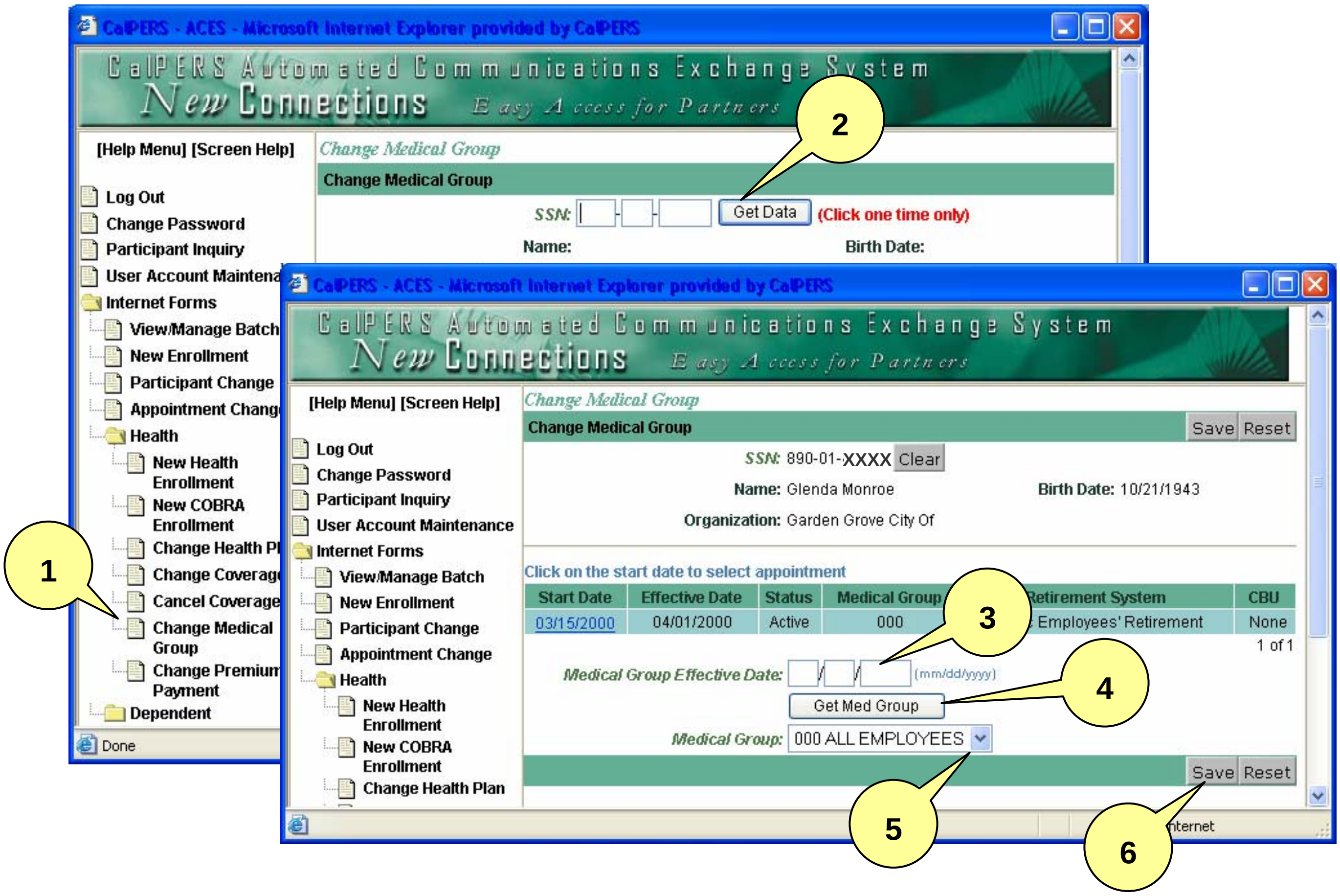


3. Enter/edit the following information (*green/bold/italic* fields are required):
   - ***Health Event Reason*** (Select the reason code from the drop-down list)
   - ***Event Date*** (e.g., date of Participant's request)
   - ***HBO Received Date***. Enter date the request was received by employer.
   - ***Health Event Effective Date*** (Enter the effective date of change)
   - Plan Name (This field is not changeable)
   - Party Rate (This field is not changeable)
4. Click **Save**.

Don't forget to submit your batch via View/Manage Batch!

Change Medical Group

Use the **Change Medical Group** function to change the medical group (recognized employee group) for a Participant who is an employee of a public agency or school district. (State Agencies will not use this function. This applies to public agency and school district employees only; the recognized employee group associated with the contract (resolution) for health benefits.)



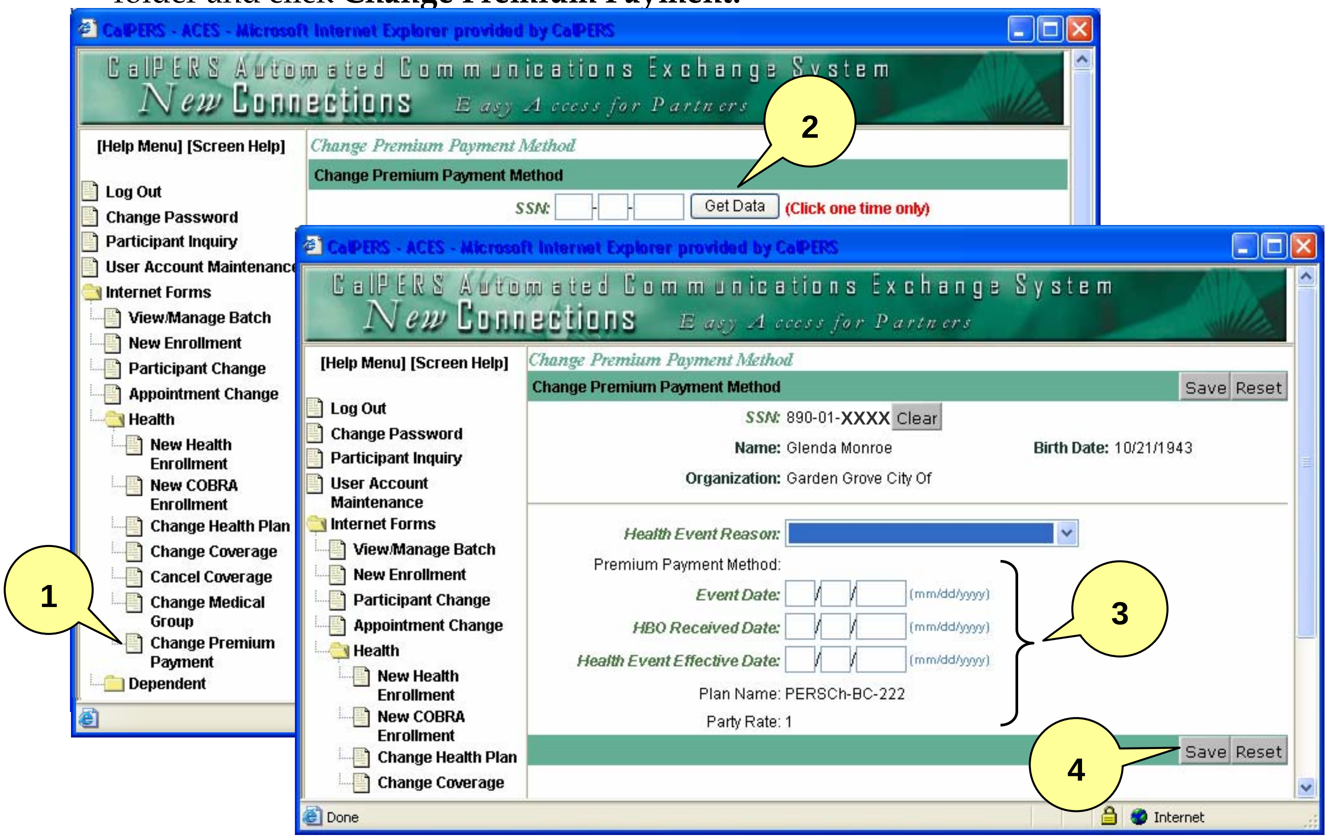
1. Open the Internet Forms folder on the Navigation Tree, then open the **Health** folder and click **Change Medical Group**.
2. Enter Participant's SSN and click **Get Data** or press **Enter**.
3. Enter the ***Medical Group Effective Date***.
4. Click **Get Med Group**. This will query the system for all available Medical Groups for the effective date (including a future effective date) and populate them in the drop-down list for selection.
5. Select the participant's ***Medical Group*** (recognized employee group).
6. Click **Save**.

Don't forget to submit your batch via View/Manage Batch!

Change Premium Payment

Changes a Participant's method of premium payment to or from regular payroll or direct pay. Payment method changes are usually the result of a Participant going on or returning from a leave of absence.

1. Open the Internet Forms folder on the Navigation Tree, then open the **Health** folder and click **Change Premium Payment.**



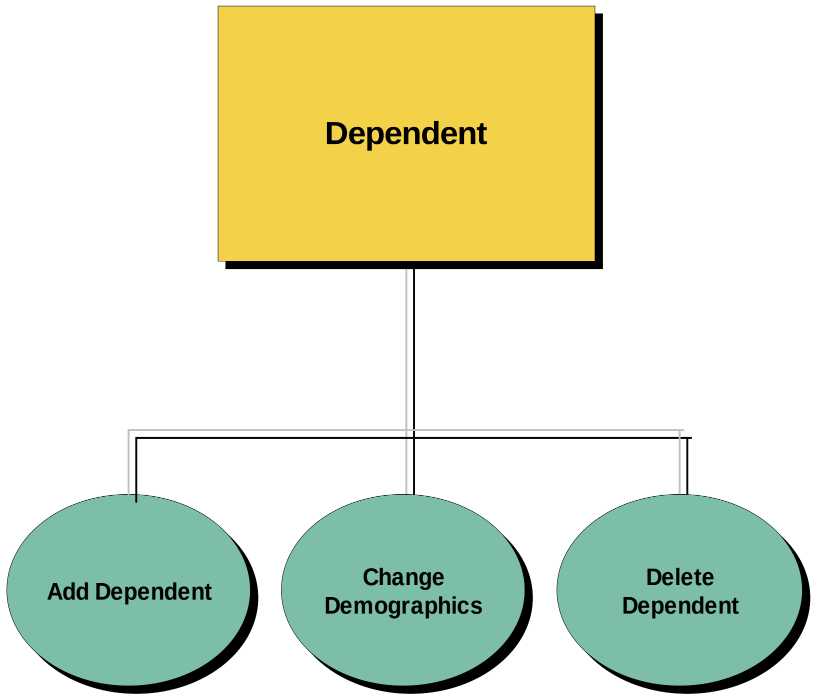
2. Enter Participant's SSN and click **Get Data** or press **Enter**.
3. Enter/edit the following information (***green/bold/italic*** fields are required):
   - ***Health Event Reason*** (Select the reason code from the drop-down list)
   - Premium Payment Method (This field populates automatically after Health Event Reason is selected)
   - ***Event Date***
   - ***HBO Received Date*** (Enter the date the request was received by employer)
   - ***Health Event Effective Date*** (Enter the effective date of change)
   - Plan Name (This field is not changeable)
   - Party Rate (This field is not changeable)
4. Click **Save.**

Don't forget to submit your batch via View/Manage Batch!

> **Please Note:** If the employee is on leave without pay and does not wish to continue health coverage by Direct Pay of premiums, a cancellation of coverage must be processed using Reason Code 533. Upon return to work with pay, a new enrollment must be processed using Reason Code 160.

INTERNET FORMS: DEPENDENT

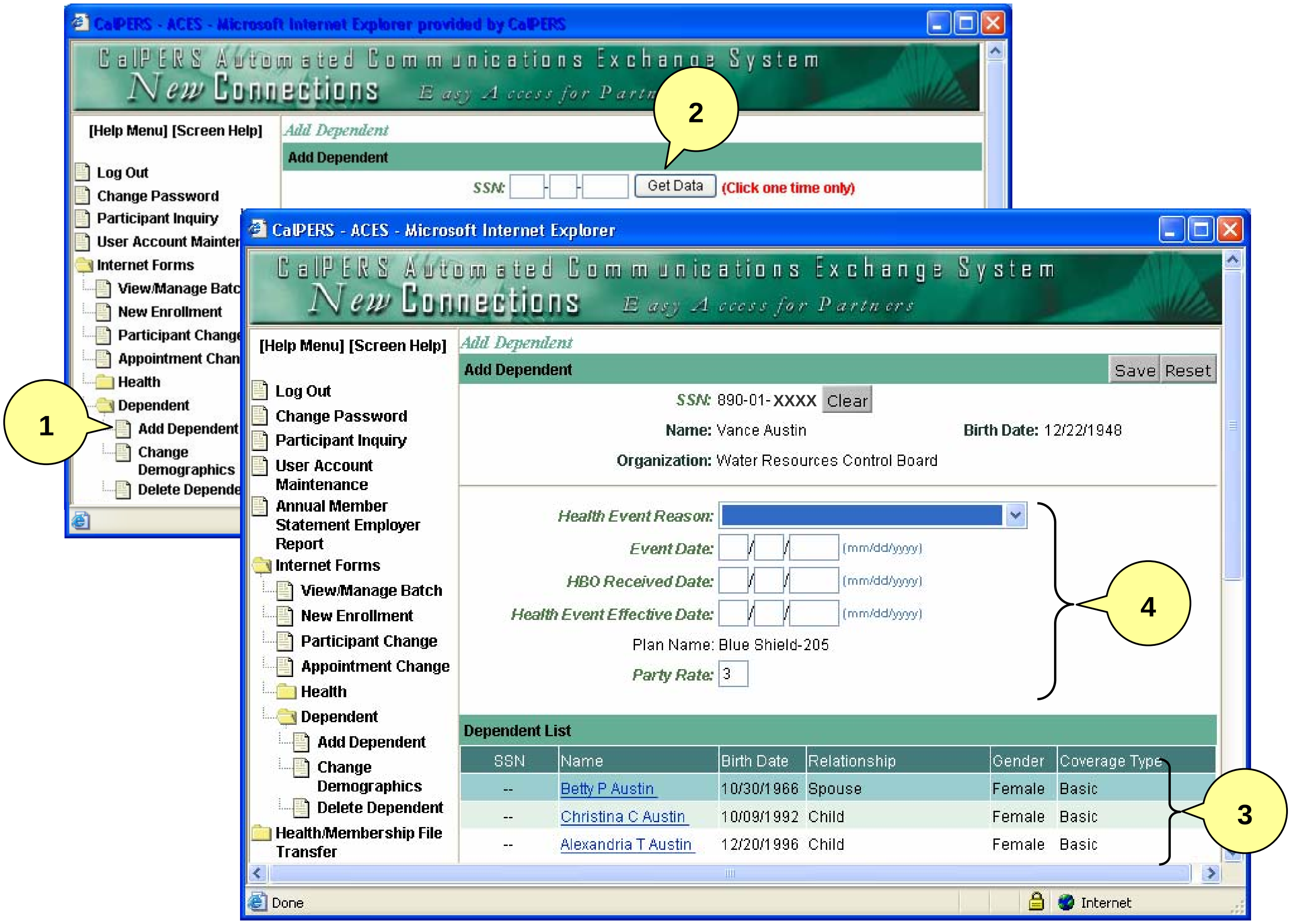
The Internet Forms, Dependent folder is comprised of three functions, as shown in the diagram below: **Add Dependent**, **Change Demographics**, and **Delete Dependent**.



Add Dependent

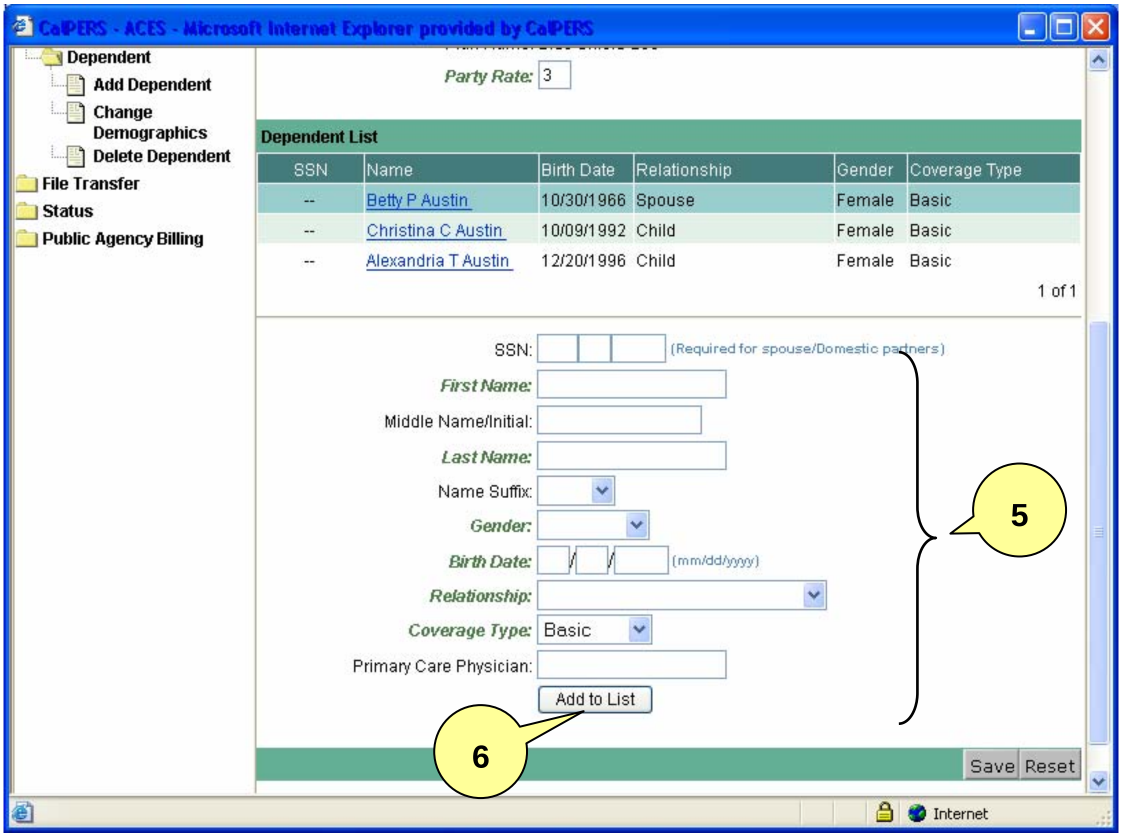
This screen is used to add dependents for a Health Participant.

1. Open the Internet Forms folder on the Navigation Tree, select the **Dependent** folder and click on **Add Dependent**.



2. Enter the Participant's SSN and click **Get Data**.
3. Participant's name, birth date, organization (agency), and any existing dependents appear. Current dependent information includes:
   - SSN
   - Name
   - Birth Date
   - Relationship
   - Gender
   - Coverage Type
4. Enter health event information (***green /bold /italics*** fields are required):
   - ***Health Event Reason***

- *Event Date*
- *HBO Received Date*
- *Health Event Effective Date*
- Plan Name (This is not a changeable field)
- *Party Rate* (Defaults to current party rate on file. See Glossary or on-line Help for definition)

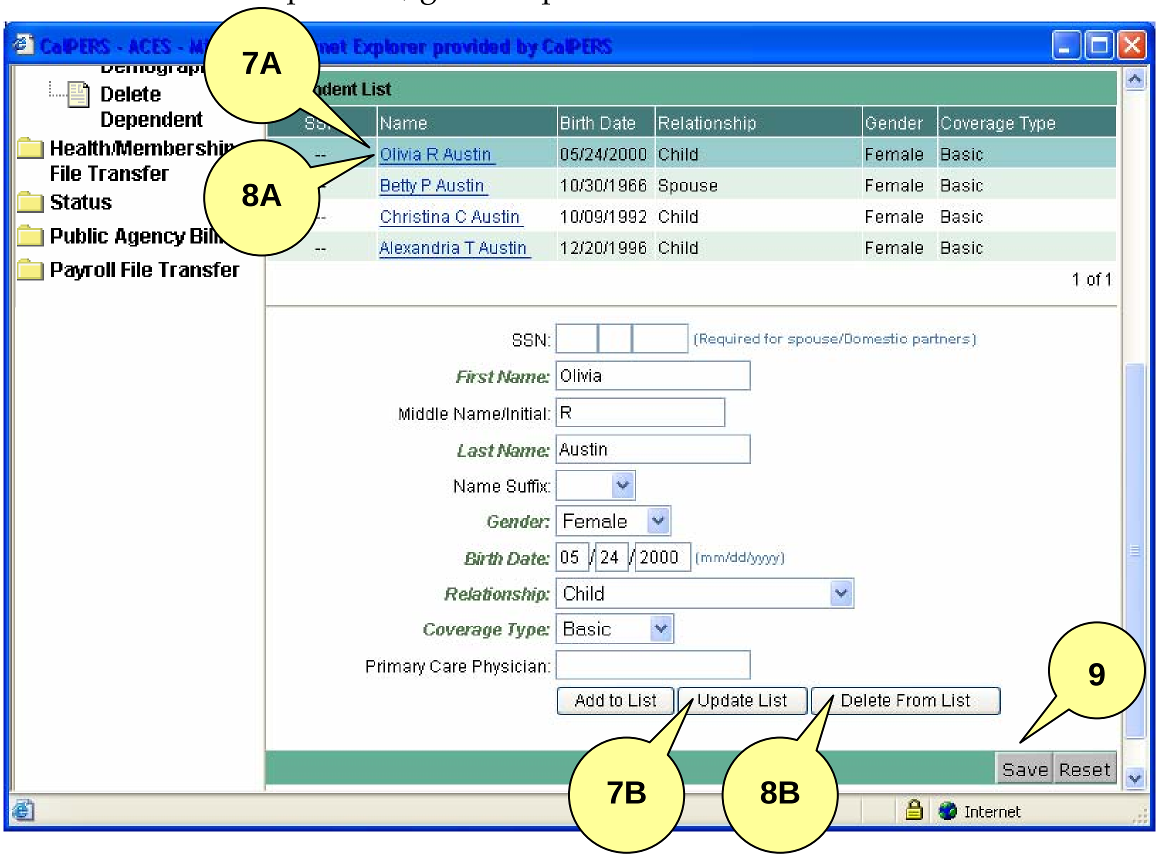


5. Scroll to the **Add Dependent Transaction List** and enter dependent information (***green/bold/italics*** fields are required):

- *SSN* (Required for spouse or domestic partner. Users are encouraged to enter SSNs for all dependents, if possible.)
- *First Name*
- Middle Name/Initial
- *Last Name*
- Name Suffix
- *Gender*
- *Birth Date*
- *Relationship*
- *Coverage Type* (The default is Basic)
- Primary Care Physician

6. Click **Add to List** (***Important***: *If this Step is skipped, dependent information will not be sent to CalPERS for processing*.)

- If this is the only dependent to be added, go to Step 9
- To add additional dependents, repeat Steps 5 and 6. To make changes to dependent information, go to Step 7.
- To delete a dependent, go to Step 8



7. To make changes to a dependent just added (but before you have saved):
   A. Click on the dependent name.
   B. When the dependent's information appears, make desired changes and click **Update List**. When you are satisfied with the list of dependents and their information, go to Step 9.

8. To delete a dependent previously added (but before you have saved):
   A. Click on the dependent name.
   B. When the dependent's information appears, click **Delete From List**. When you are satisfied with the list of dependents and their information, go to Step 9.

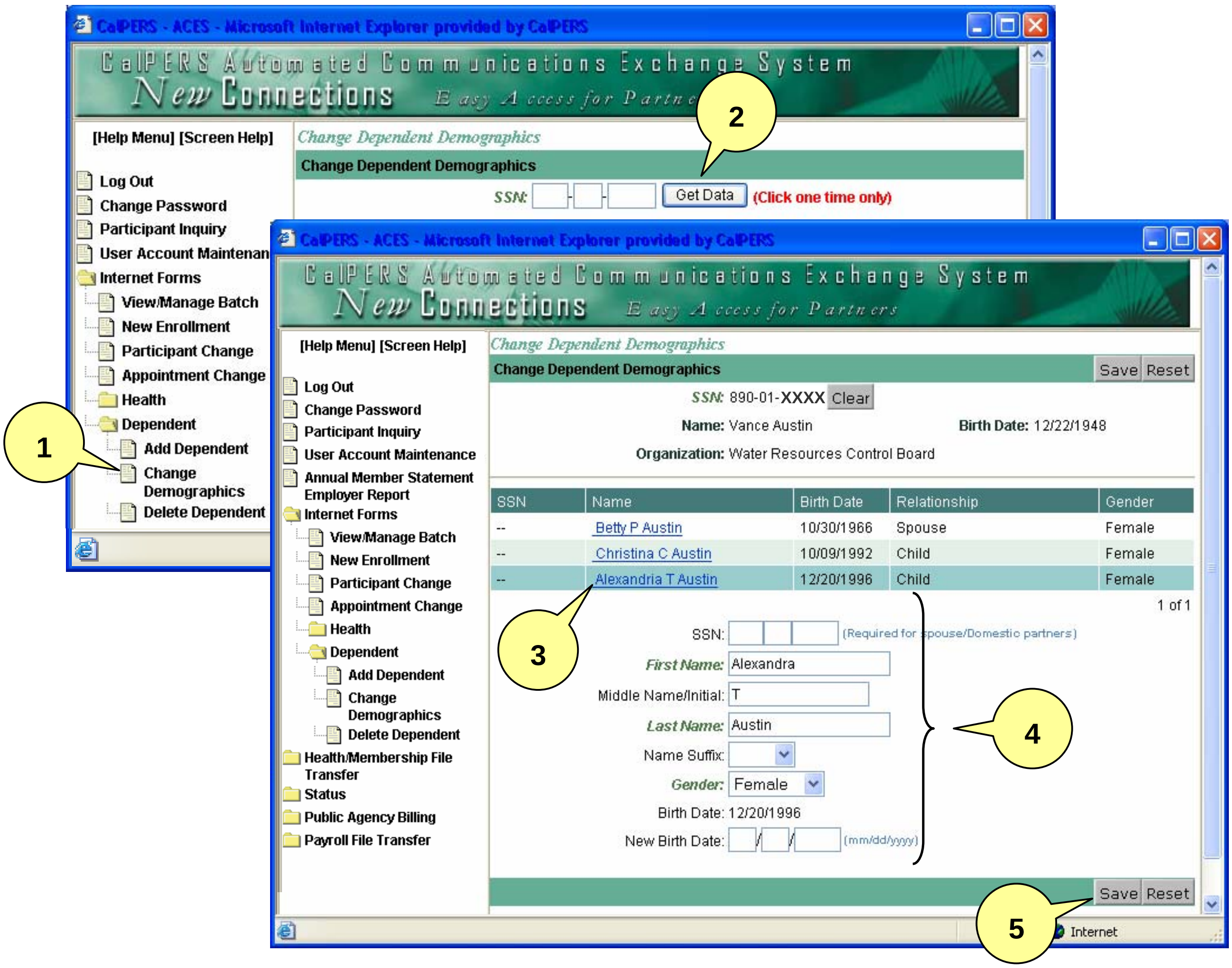
9. When all adds/changes/deletes are completed, click **Save**.

Don't forget to submit your batch via View/Manage Batch!

Change Demographics

Use this screen to submit a change to demographic information or to add a social security number for a previously enrolled dependent.

1. Open the Internet Forms folder on the **Navigation Tree**, select the **Dependent** folder and click on **Change Demographics**.



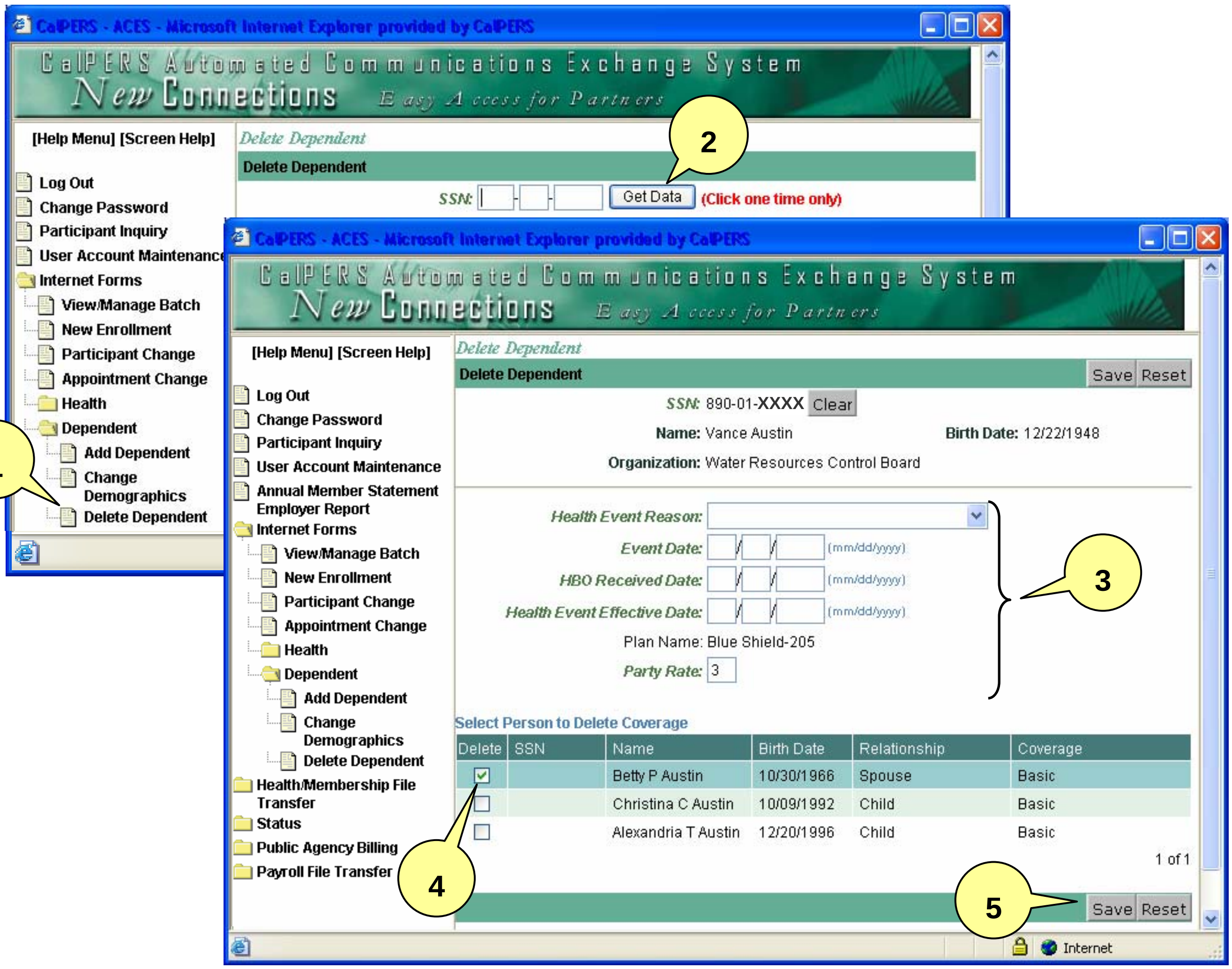
2. Enter the Participant's SSN and click **Get Data**.
3. The Participant's name, birth date, and organization (agency) appears. Click on the dependent name. This displays existing dependent information.
4. Enter new information.
5. Click **Save**.

Don't forget to submit your batch via View/Manage Batch!

Delete Dependent

Use this screen to delete a dependent from a Participant's Health enrollment.

1. Open the Internet Forms folder on the Navigation Tree, select the **Dependent** folder and click on **Delete Dependent**.
2. Enter the Participant's SSN, and click **Get Data**.



3. Enter health event information (*green/bold/italics* are required fields):
   - ***Health Event Reason***
   - ***Event Date***
   - ***HBO Received Date***
   - ***Health Event Effective Date***
   - Plan Name (This is not a changeable field)
   - ***Party Rate*** (Populates with the current party rate on file. See Glossary or on-line Help for definition.)
4. Click the check box next to the dependent to be deleted.
5. Click **Save**.

Don't forget to submit your batch via View/Manage Batch!

Restoring a Deleted Dependent

If you delete a dependent in error and you have already saved the transaction, complete the following steps to restore the dependent.

1. From the Internet Forms folder on the Navigation Tree, select **View/Manage Batch**.
2. Click on the Tracking ID of the batch containing the deleted dependent transaction.
3. Locate the Participant whose dependent was deleted in error. Click on the Trans. No..
4. When the information for the deleted dependent transaction appears, click **Delete**. A confirmation for the request to delete appears. Click **OK**. Essentially, you have "deleted the delete transaction," and the dependent is restored.

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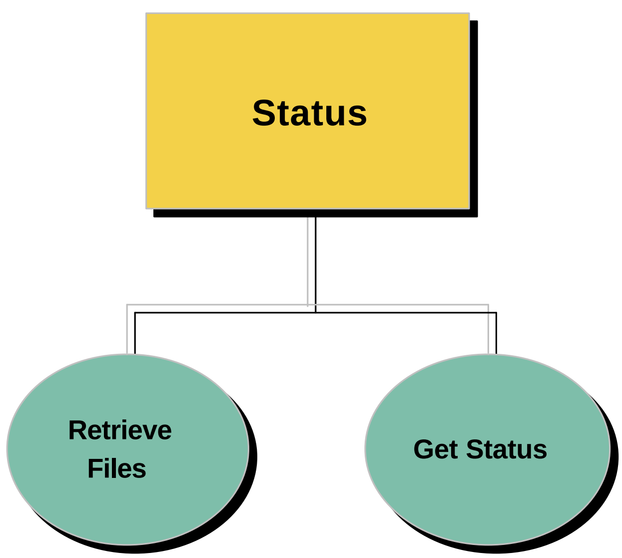
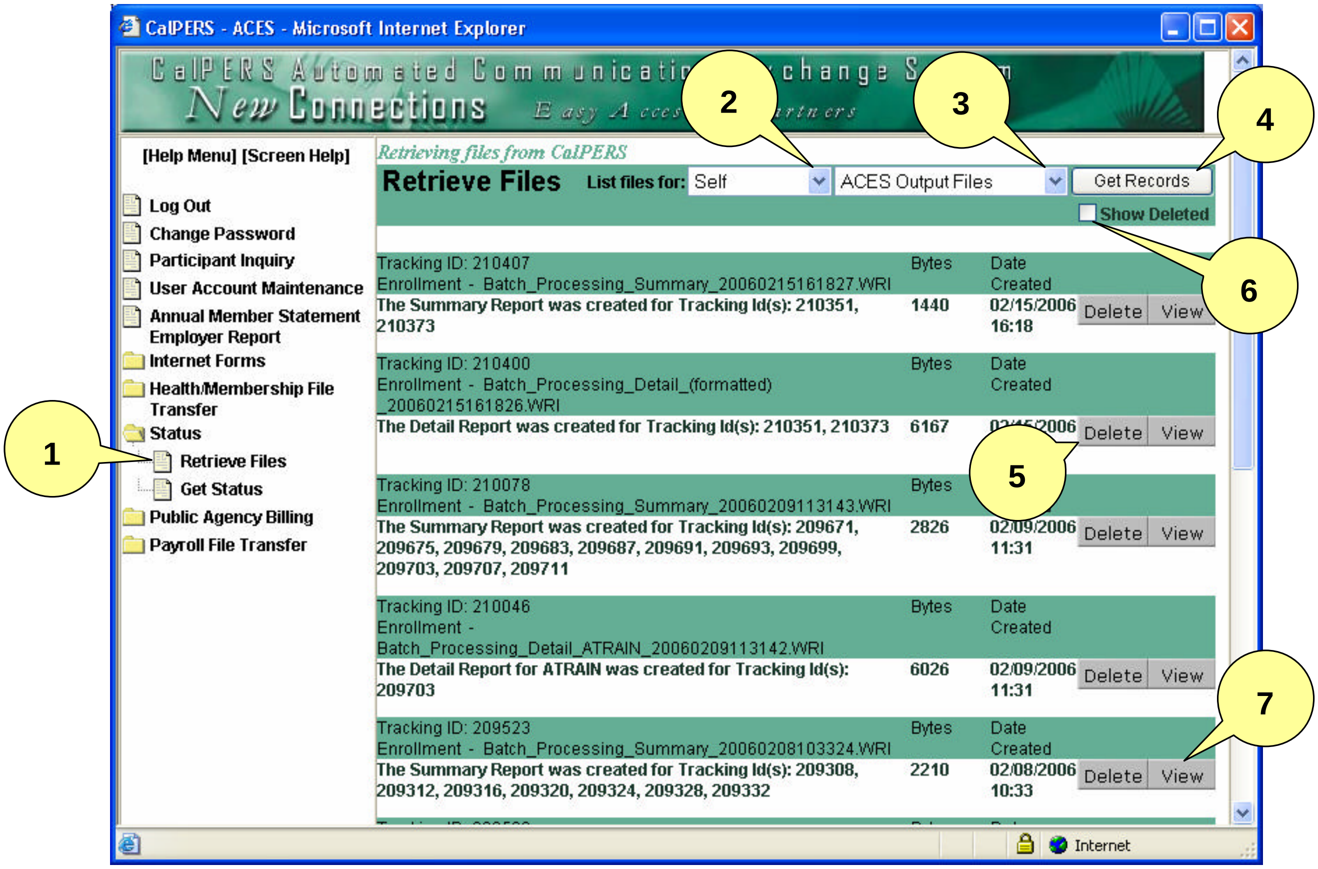
STATUS

The Status function allows you to request and receive information about transactions that you or your co-workers have submitted to ACES through File Transfer, Internet Forms, or User Account Maintenance. Status provides information about ACES-generated error files and reports (**Retrieve Files**) and about employer-generated data files and report requests (**Get Status**).

1. **Retrieve Files** gives you the ability to do the following:
   - View and/or save ACES output reports and organization-submitted reports that you or someone within your organization initiated (sent to CalPERS for processing)
   - Delete (hide) such reports
2. **Get Status** allows you to track files you or your peers have transmitted to CalPERS. ACES records a complete "event" history for all files it receives from employers. The Get Status function provides information specific to events, such as the date, file type, status, file size in bytes, username and tracking ID. File histories can be viewed in two ways:
   - Files initiated by the user
   - Files initiated by their peers





Retrieve Files

1. Select **Retrieve Files** from the **Status** folder on the Navigation Tree.
2. At the drop-down menu **List Files For**, choose **Self** (the current user), **Organization** (the employer or agency), or another specific username. You are limited to the type of files available for viewing depending on the user or group you select:
   - **Self**: You can view ACES output files and files submitted by your organization
   - **Organization**: You can view only ACES Output Files
   - **Peer**: You can view only ACES Output Files
3. From the second drop-down menu, select the type of file you want to view. You can choose either ACES Output files or Agency-Submitted Files.
   - **ACES output files**: These are Health and Membership transaction reports that ACES provides to employers, such as error reports, summary reports, successful transaction reports, periodic extracts and username / password files (for Account Administrators).
   - **Agency-submitted files**: Summaries of transactions submitted to ACES

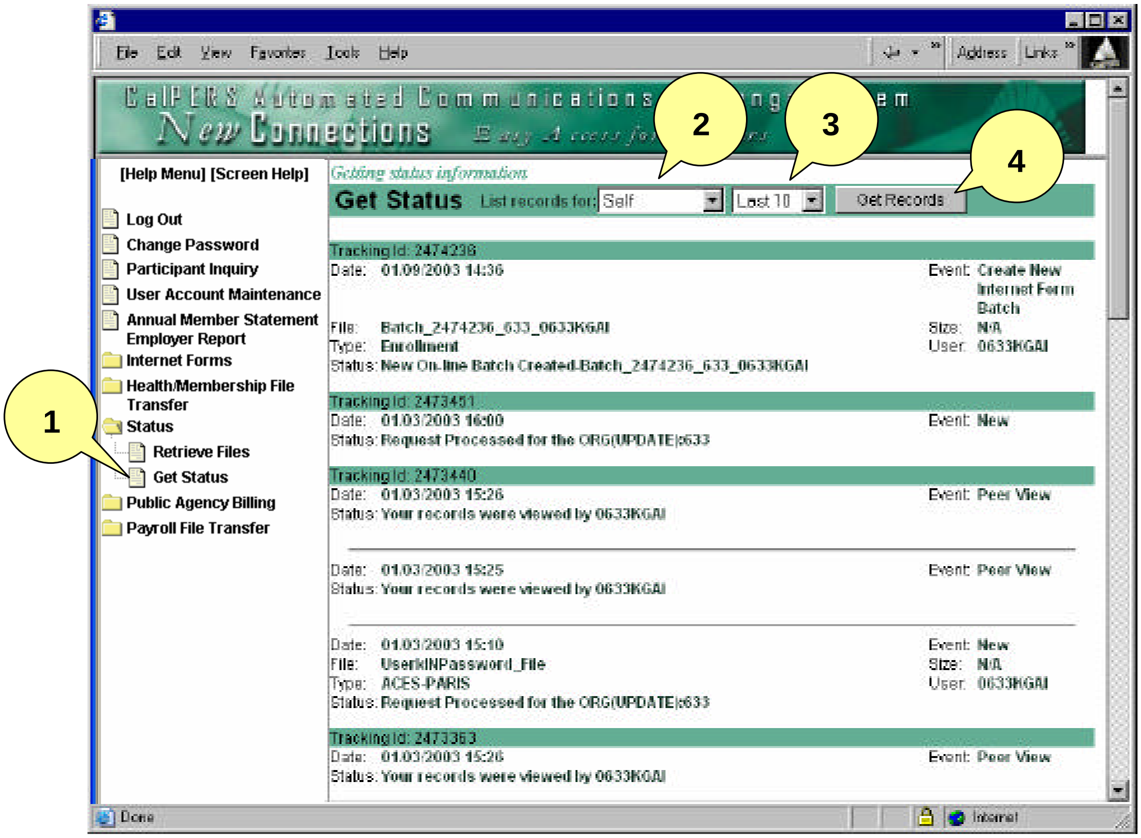
4. Click **Get Records**. ACES displays a list of files matching the criteria selected.
5. To delete a specific file, click **Delete** next to that file. A delete confirmation message is provided. Select **OK** to delete the file from view or **Cancel** to cancel the delete request.
6. Optional: Choose **Show Deleted** at any time to display and list previously deleted files. ***Note: Reports are only deleted from view; they are still available for retrieval by checking the Show Deleted box until they are purged from the system by CalPERS every 90 days***.
7. To view a specific file, click **View** next to that file.

> **Please Note**: It is important to view the user Detail Report in order to review important information messages regarding your transactions. See **Error Correction Process** section for more information.

Get Status

The **Get Status** function provides information specific to events, such as date, file type, status, file size in bytes, username, and tracking ID. File histories can be viewed in two ways:

- Files initiated by the user
- Files initiated by their organization



1. From the **Status** folder on the Navigation Tree, select **Get Status**.
2. From the drop-down menu to the right of **List Records For**, choose **Self** (the current user), **Organization** (the employer or agency), or **Peer** (user-designated co-workers within the organization). You are limited to the type of files available for viewing depending on the user or group you select:
   - **Self**: View all File Transfer, Internet Forms, and User Account Maintenance transmissions, statuses, and report requests submitted to CalPERS that you initiated
   - **Organization**: View all File Transfer, Internet Forms and User Account Maintenance transmissions, status, and report requests submitted to CalPERS that users within your organization have initiated

- **Peer**: View all File Transfer, Internet Forms, and User Account Maintenance transmissions, statuses, and report requests submitted to CalPERS that were initiated by the specific peer selected

3. Select view type:

- **Last 10 transmissions**
- **All transmissions**
- **Specific transmission by tracking ID**

4. Click **Get Records**. The files and current statuses for the selected user are displayed. The following information is provided:

- Unique identifier (tracking ID)
- Date and time message was received
- Event
- Status

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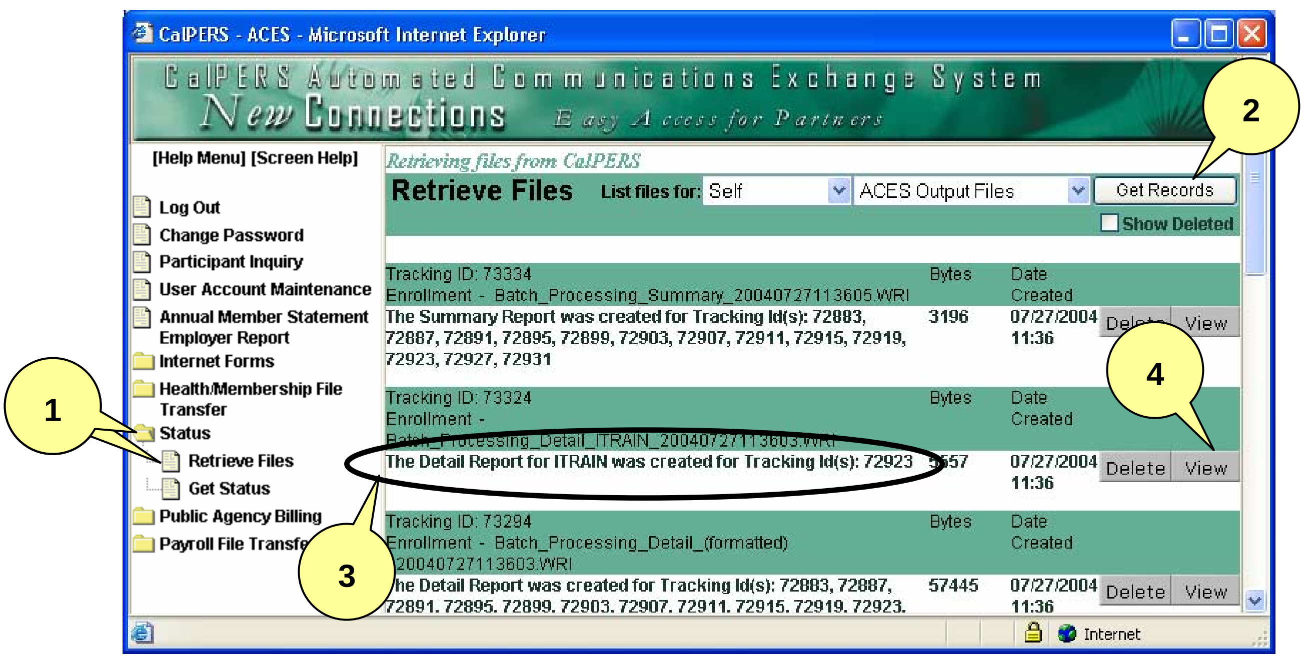
ERROR CORRECTION PROCESS

The following provides information regarding the error correction process. In this section you can reference how to:

- Retrieve reports (information on the transactions you've submitted)
- Correct Agency Errors
- Read your Detail Report, reference common messages received, and determine how to resolve them

Retrieving Files (Reports)

1. Open the Status folder, and click **Retrieve Files**.
2. Click **Get Records**.
3. Find the Detail Report for your Username and Tracking ID (batch) submitted.
4. Click **View** to access the Detail Report.

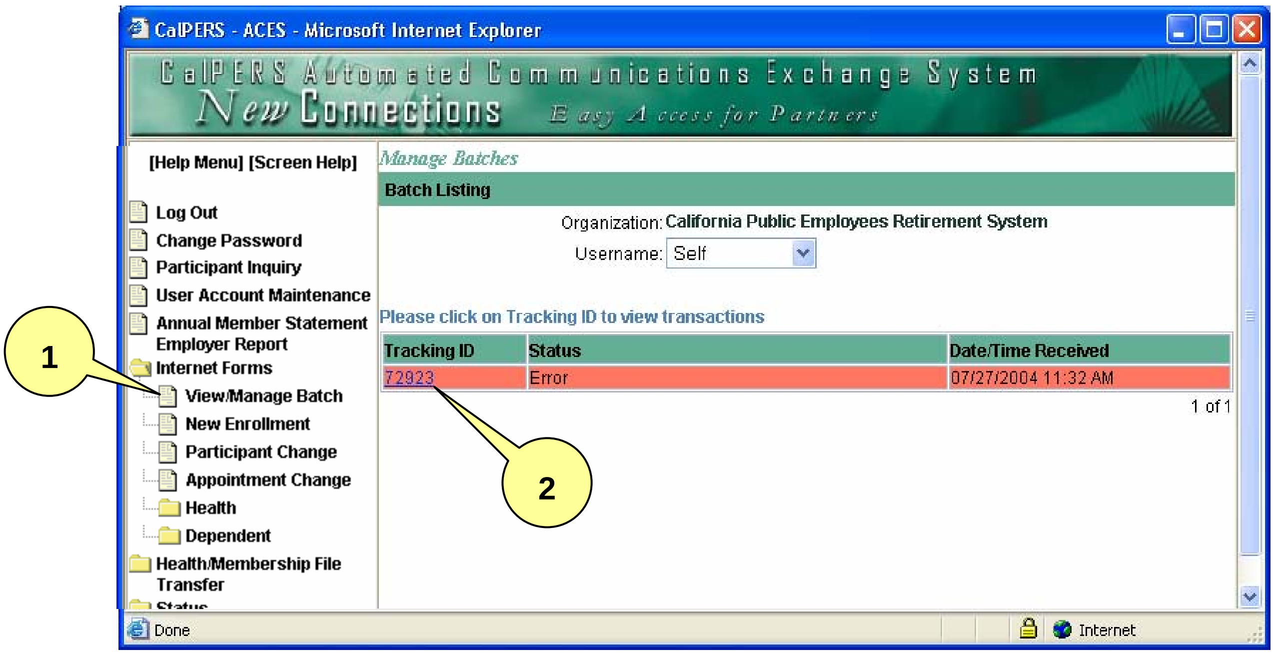


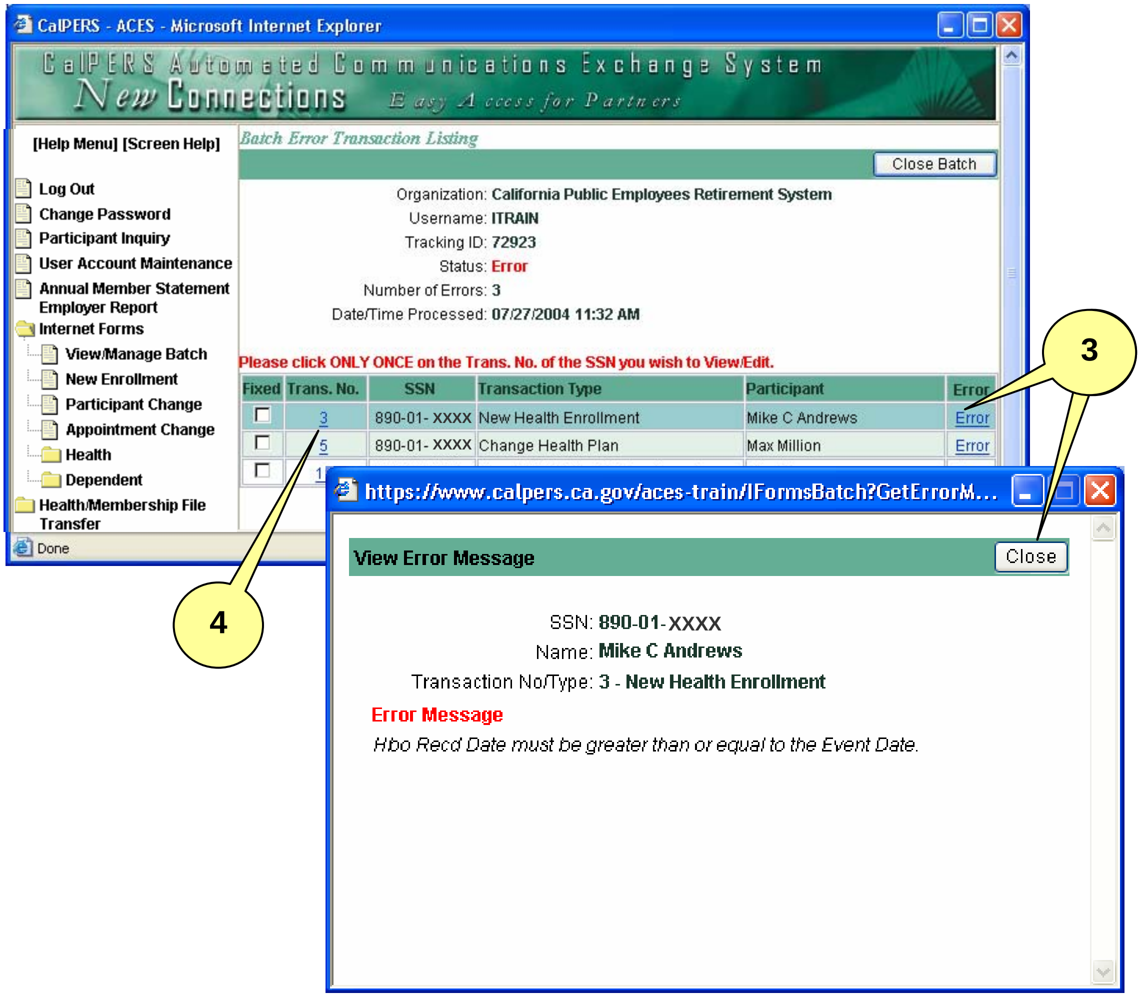
NOTE: If the Detail Report indicates there were Agency Errors, you must correct these transactions and submit them to CalPERS for reprocessing.

Correcting Agency Errors

Employers are responsible for correcting all Agency Errors. The following process describes how to retrieve errors and submit corrections.

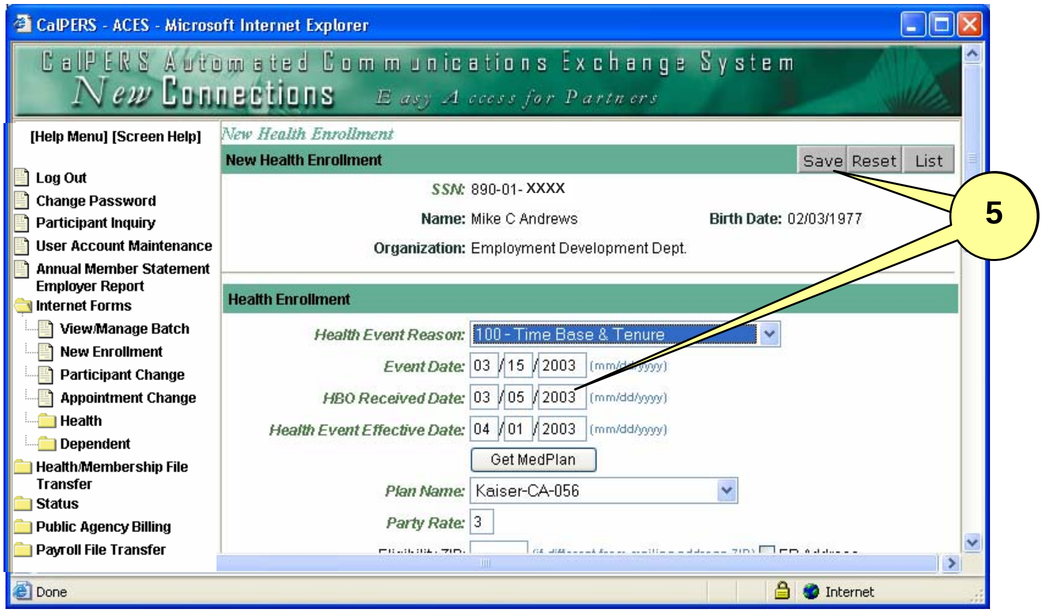
1. Open the Internet Forms folder and click on **View/Manage Batch**.
2. Batch(es) with Agency Errors are indicated with the **Error** status. Click the Tracking ID next to the batch that requires correction. The transactions with a status of "Agency Error" will be displayed.





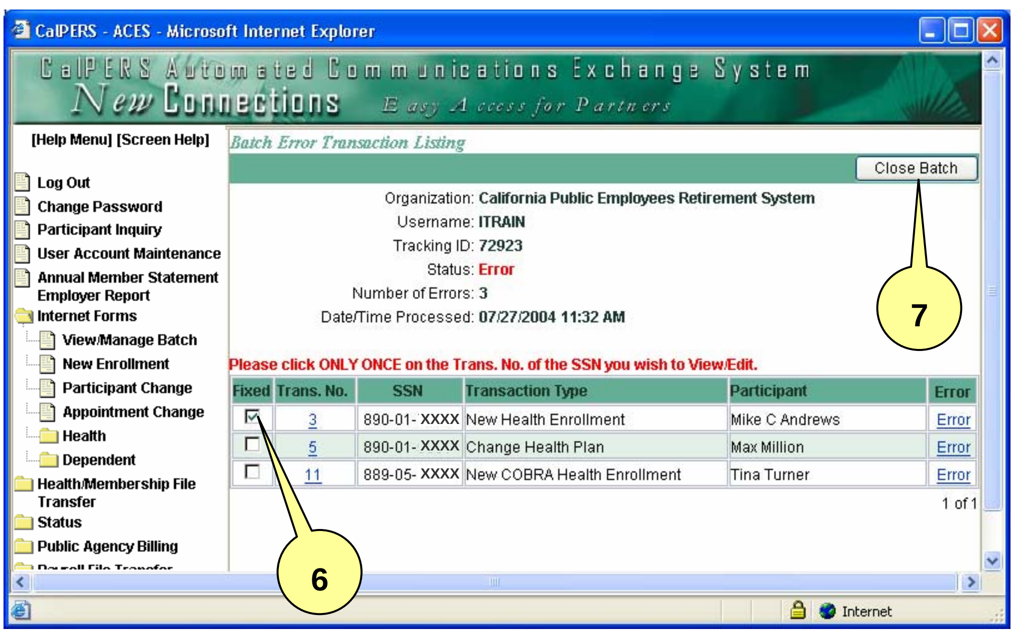
3. Optional: Click Error at the far right to view the reason the transaction was not processed. This is the same error message as in the Detail Report for that transaction and the window can be closed at any time.

4. Click the Trans. No. of the transaction to be corrected. The transaction will appear as originally keyed.

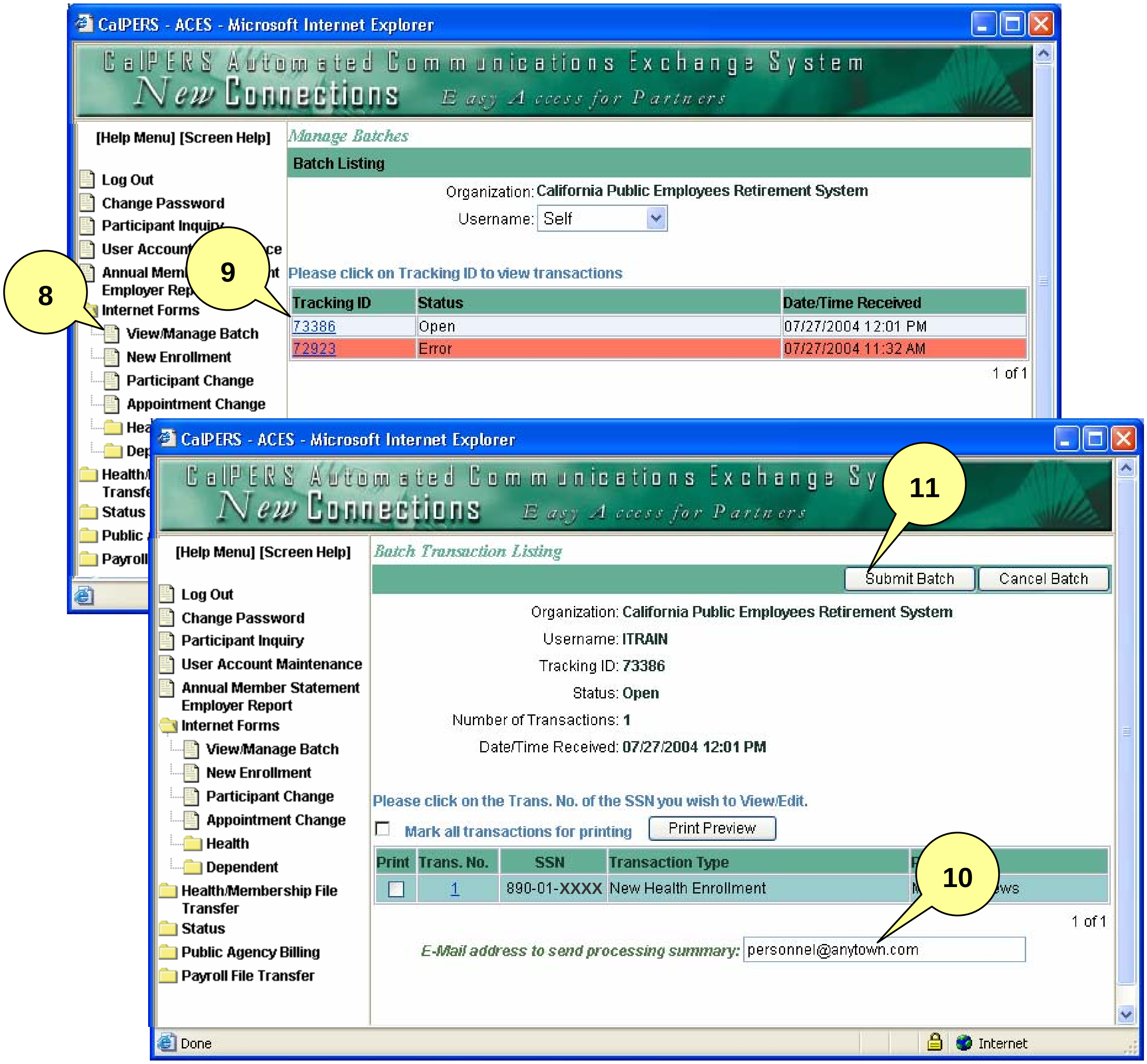


5. Make the appropriate correction and **Save** the transaction.

6. This transaction will now be checked as “fixed” in your ***Batch Error Transaction Listing*** and the corrected transaction will be assigned a new batch number.
   Note: Transactions are not completed until the new batch is submitted.



7. When you have corrected all Agency Error transactions, the batch will close automatically. (**Exception**: Occasionally, there may be error messages that cannot be fixed. In these cases, the batch will not automatically close. You must click **Close Batch** to clear the list of errors.)



8. Open the Internet Forms folder and click on **View/Manage Batch**.
9. Click the Tracking ID next to the “Open” batch containing the corrected transactions.
10. Verify the e-mail address to where the processing Summary Report will be sent.
11. Click **Submit Batch**.

Summary & Detail Report Transaction Status Types

The ACES Processing Summary provides high level information on the status of your transactions. The ACES Processing Detail provides confidential detailed information regarding your transactions.

The following table lists status types/messages, their definitions, and resolution instructions. For a detailed report, go to the "Status" folder; select "Retrieve Files" and request detail for a specific batch.

Status Message	Status Type Abbreviation	Definition	Resolution
Successfully Applied	SA	Batch was run; transaction was executed and applied	None
Agency Error	AE	The agency is not allowed to submit the requested transaction OR The agency created a transaction with incomplete or invalid data	Review Detail Report and correct problem per the message provided
Completed	C	A CalPERS technician resubmitted a transaction that was identified for review or correction by CalPERS	None
PERS Rtry	PR	Participant was identified by the CalPERS system as a PERS member, a health transaction was submitted, but no appointment was on file for the Participant. The transaction is flagged as "PERS Retry" to note that there is no appointment.	When an appointment is applied for the Participant requested, the transaction will be picked up in the next batch. Check the transaction status in 2-3 days after receipt of the PERS Retry status. If the transaction has not been applied after 3 days, call **888 CalPERS** (or **888**-225-7377) for assistance.
Non-PERS Rtry	NR	A CalPERS technician must review the Non-PERS New Health transaction requested because there's a problem updating either the appointment or health information	If the transaction is approved, the technician completes and updates the transaction through the CalPERS system. The Detail Report will show a Completed status. If the transaction is denied, the Summary Report will reflect a Denied status.
COBRA Rtry	CR	A CalPERS technician must review the New COBRA Enrollment transaction requested. Depending upon the technician's analysis of the transaction, it can be denied or completed	Same as Non-PERS Rtry

Status Message	Status Type Abbreviation	Definition	Resolution
Manual Correction	MC	A CalPERS technician must review the transaction requested. Depending upon the technician's analysis of the transaction, it can be denied or completed. *NOTE: Generally, Manual Corrections require some processing time. Please check the Detail Report for the results of this transaction a day or two after you submitted your batch.	If the transaction is approved, the technician completes and updates the transaction through the CalPERS system. The Detail Report will show a Completed status. If the transaction is denied, the Summary Report will reflect a Denied status.
Duplicate	Dup	A transaction was submitted that matched information CalPERS previously had on record	None
Denied	D	The CalPERS technician determined that the transaction submitted cannot be processed or approved due to discrepancies or non-compliance to laws, procedures, and/or rules/ regulations	None
Informational	I	Data may have changed from what was originally keyed. The system derived different data based on the CalPERS business rules (e.g., effective dates, party rates), OR gives information to the user of historical data on file and new data that replaced it.	None

Health—Internet Forms: Common Transaction Status Messages

The following table lists common examples of batch messages for Health—Internet Forms. For questions regarding Health related messages, please call **888 CalPERS** (or **888**-225-7377).

Status Type Abbreviation	Message	Description	Resolution
AE	HBO Received Date must be greater than or equal to the Event Date	HBO Received Date submitted is prior to the Permitting Event Date.	Correct the signature date to be the same as or later than the event date.
AE	Subscriber is trying to enroll in a health plan outside his/her service area. Or, a plan rollover to an active health plan must be processed before completing this transaction.	Possible reasons for errors: • The plan selected is not available in participant's ZIP code area • The participant's ZIP code used for eligibility is wrong • A rollover to a CalPERS contracted health plan may be needed.	If the health plan is not available, enter an eligibility ZIP code or select another Health Plan and resubmit the transaction to CalPERS for processing. If the health plan is available in the member's service area or a plan rollover is needed, contact CalPERS to resolve the problem.
AE	The Subscriber already has a Spouse or Domestic Partner on file. Only one Spouse or Domestic Partner may be associated to the subscriber.	User attempted to add a Spouse or Domestic Partner and the system already has a Spouse or Domestic Partner on file	Delete ex-spouse or ex-domestic partner using Delete Dependent function, and submit transaction. After deletion is reflected, add the correct spouse or domestic partner and resubmit transaction. If this is a New Health Enrollment, the ex-spouse or ex-domestic partner may still have a relationship in the CalPERS system from a prior enrollment. User must call CalPERS to have the relationship terminated. The next day, resubmit the transaction (Agency Error).
MC	Health Event Reason Code designated for Manual Processing	The Health Event Reason Code entered must be manually processed by CalPERS. This includes any COBRA or Medicare Enrollment.	No employer action. CalPERS will manually process this transaction and change the status to Completed. When the status has been updated, you will receive confirmation of the completed transaction on a future Detail Report.

Status Type Abbreviation	Message	Description	Resolution
MC	Could not determine the medical group for the incoming orgID	Medical Group is derived, but the values provided did not match COMET medical group	No employer action. Employer does not have a contract with the medical group that was submitted. CalPERS staff will contact the employer to validate the correct medical group.
MC	Individual is already covered on effective date	User attempted to add health coverage, but the subscriber or dependent is currently reflecting a status of "covered" under another coverage group	No employer action. CalPERS will research the problem and contact the employer if there are any questions. When the status has been updated, you will receive a new transaction status on a future Detail Report. The transaction may be denied or completed depending upon research results.
MC	The dependent was not found using the agency SSN (Agency submitted: XXX-XX-XXXX)	The Dependent could not be found using the SSN entered by employer	No employer action. CalPERS will research the transaction. The dependent is in the system without an SSN. If the name and birth date match the dependent in COMET, the dependent's SSN will be added. If a name, gender, or DOB is being changed, a CalPERS technician will update the change in 24 to 48 hours. The status will be changed to Completed or re-submitted and the transaction will be processed by the next ACES batch. If the SSN does not match, the transaction will be denied.
MC	Subscriber is not covered by designated agency	Agency submitted Change Plan, Change Premium Payment, Add Dependent (or any health modifying transaction), but coverage found for the subscriber was qualified through an appointment that is with another agency	No employer action. CalPERS will research the health enrollment and attach it to the correct employer. The status will be changed to Completed. When the status has been updated, you will receive confirmation of the completed transaction on a future Detail Report.

Status Type Abbreviation	Message	Description	Resolution
MC	The birth date on the dependent with SSN (XXX-XX-XXXX) was (mm/dd/yyyy), but COMET has a birth date of (mm/dd/yyyy)	A discrepancy exists between the dependent's birth date on the transaction versus what exists on COMET	No employer action. CalPERS will contact the employer to validate the date of birth and manually update the transaction. Status will be changed to Completed. When the status has been updated, you will receive confirmation of the completed transaction on a future Detail Report.
MC	Events have occurred on the account after the effective date entered	Another transaction with a later effective date was already applied to the system	A CalPERS technician must manually apply this transaction. The status will be changed to Completed.
NR	Subscriber already covered with another agency as of the transaction record effective date.	Non-PERS Subscriber is already covered by another agency.	No employer action. CalPERS will verify if the participant has been cancelled by the former agency. CalPERS will manually process this transaction and change the status to Completed. If the former agency has not cancelled the participant's coverage, the status of the transaction will be changed to Denied. When the status has been updated, you will receive confirmation of the completed transaction on a future Detail Report.

Status Type Abbreviation	Message	Description	Resolution
SA, I	COMET will use an Effective Date of ___, but the agency submitted Effective Date of ___	This message is provided if COMET derives an effective date that differs from the agency's submitted date	The effective date will differ from what was submitted on the transaction. The agency should validate which effective date is correct and contact the employee with the changes. If the original effective date provided by the agency should be used, contact CalPERS to correct the date on COMET. You will not be automatically notified of the correction in effective date. You can access Participant Inquiry the following day to confirm if the effective date was changed.
SA, I	Demographic information of ____ has been changed to ____.	Before and after information displayed upon successful demographic transaction	No employer action
SA, I	Dependent demographic information of ____ has been changed to ____.	Before and after dependent information displayed upon successful demographic transaction	No employer action
I	The COMET address has been changed from (__ to __)	The address on the system was changed to reflect the new address entered	No employer action. The database will save the new address submitted in the transaction.

Membership—Internet Forms: Transaction Status Messages

The following table lists common examples of batch messages for Membership. Transaction statuses noted with *, are unique to File Transfer employers. For questions regarding these messages, call **888 CalPERS** (or **888**-225-7377).

Status Type Abbreviation	Message	Description	Resolution
AE	A technical problem occurred and the transaction was not processed; call the Employer Contact Center to report this	N/A	Contact CalPERS Employer Contact Center at **888 CalPERS** (or **888**-225-7377) to report the problem
AE	Appointment Start Date cannot be earlier than or equal to the Participant's Permanent Separation or Layoff date	Appointment start date must be after Permanent Separation date	Recheck the Effective Date and resubmit if necessary
AE	Coverage Group being added cannot be less than the earliest Group	The Coverage Group change Effective Date that was keyed is prior to the previous Group	Correct the Effective Date to be later than the last Coverage Group. Resubmit the transaction.
MC	Appointment may have been deleted or a possible system error exists; call the Employer Contact Center to report this	N/A	No employer action. A CalPERS technician will review the transaction and, if necessary, contact the agency to confirm the appointment.
MC	As of the Effective Date of ____, this Participant has more than one appointment with this employer; the system cannot identify the appropriate appointment, so the "change" transaction cannot be applied	There was a duplicate appointment that caused the transaction to not be applied	No employer action. A CalPERS technician will research this appointment. The transaction will be applied to the appropriate appointment.
I	The COMET address has been changed from (____) to (______)	N/A	No employer action. The database will save the new address submitted in the transaction.

PARTICIPANT INQUIRY

Participant Inquiry (PI) is an inquiry-only function that contains Participant information extracted nightly from the CalPERS Health and Membership Database (COMET). This section is written for Carriers and Employers who use ACES to access information about Participants in a CalPERS Health and/or Retirement program.

Security Rules for Employers

Employers can access information as follows:

- Only the current Employer can view a Participant's Health and Membership record
- Only the Employer from whom the Participant retired can view a Retiree's Health and Membership enrollment record

Security Rules for Carriers

Carriers can access information as follows:

- Only the current Carrier can view all enrollment information
- All other Carriers do not have access to address or dependent information for any enrollee who is not currently enrolled with them

NOTE: All other Carriers include, but are not limited to, a Carrier that previously provided health coverage for the Participant.

In implementing these rules, Participant Inquiry may not display all data. Keep these rules in mind if the user gets unexpected query results.

Participant Inquiry Features

Participant Inquiry is Social Security Number (SSN) driven; you cannot query by name.

Get Data Button

After typing the SSN, click on Get Data to retrieve the Participant Information.

Clear Button

Before making another query, click the Clear button to fully clear the previous Participant's data.

Participant Inquiry Features (cont'd)

As Of Date

The As Of Date determines the information that the system displays. The As Of Date defaults to today's date; however, data can also be retrieved "As Of" a different date (e.g., future or past dates.) When the As Of Date is changed, the ONLY information that will change is in the Subscriber and Dependent tabs. This function works only if the current user is the current employer (or was the employer as of the date provided).
NOTE: Changing the As Of Date will not give the user Address or Dependent information unless the user is the current Carrier or Employer "As Of" the System Default Date.

Example: Does a dependent have coverage during August 6, 1999?

- Select the value in the "As Of Date" field's data-entry box so it's highlighted
- Change the As Of Date to 08/06/1999 (mm/dd/yyyy)
- Click **Get Data**
- Click the Dependent Tab and the system will show you if that dependent was covered "As Of" the changed date

Example: Does the employee have health or employment with a future effective date?

- Change the As Of Date to the future effective date
- Click **Get Data**
- All related tabs for the employee will be retrieved

Extract Date/Time field (located above the "Clear" button)

The "Extract Date/Time" is the day and time that data was *applied* to ACES from COMET. The information being viewed is typically the data from the last business day. For example, if logging in on June 8, the data displayed was updated on COMET on June 7. If a batch was submitted on a business day by the batch deadline, the Successfully Applied transactions will be viewable the following day.

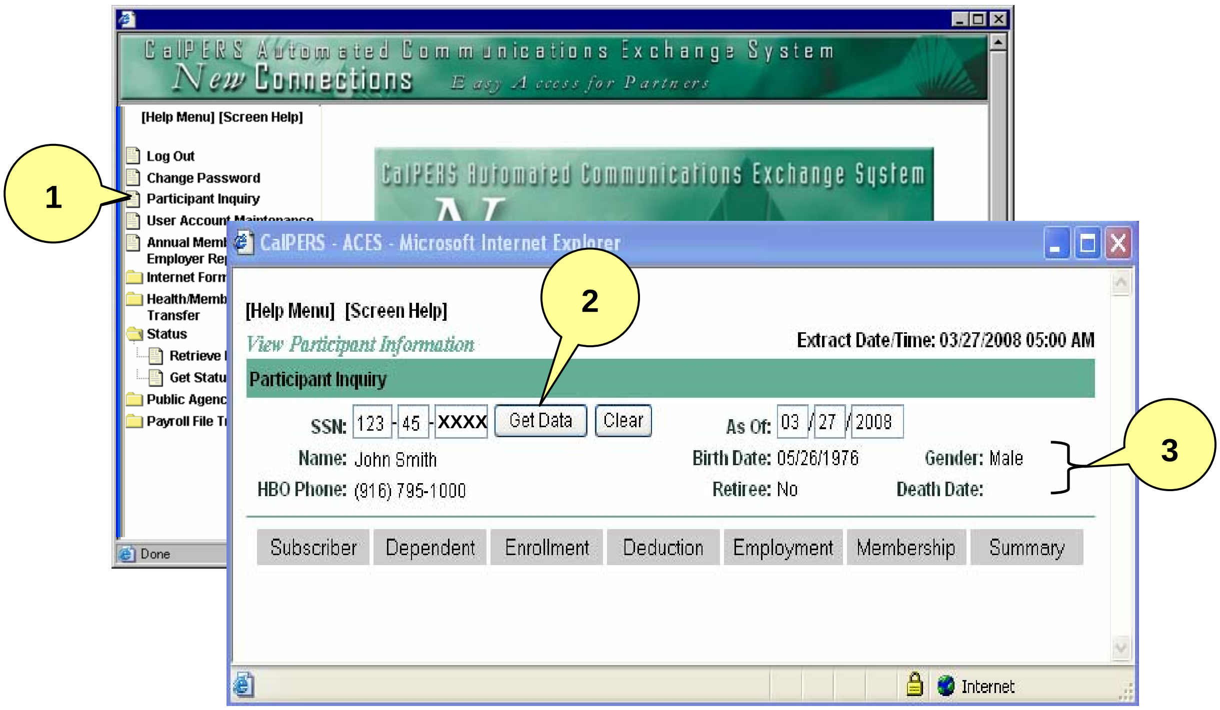
Notes Feature

General Notes – CalPERS staff have the ability to save notes to an employer, a health carrier, or internal staff. If a note was saved for a Participant, a **Notes** button will show in the header of **Participant Inquiry**. Click on the **Notes** button to open a window that will display the note.

Notice 28 Notes – A Notice 28 is information that is sent to the employee about the change they are requesting. These notices are system generated. CalPERS staff have the ability to put an additional note on these notices. In the Enrollment Tab, an icon will show in the "Proc. Status" column of a transaction line. Click on the icon and it will open the note that was printed on the Notice 28.

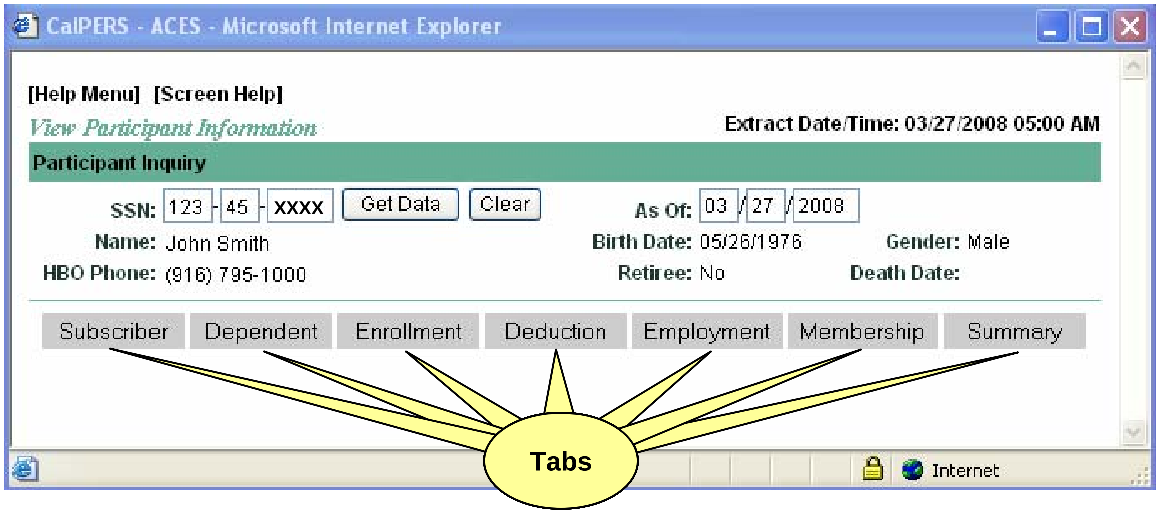
Accessing Participant Inquiry

1. Click on **Participant Inquiry**. A new window will appear.
2. Enter the Participant's SSN and click **Get Data**.
3. ACES will populate the View Participant Information screen with information in the Header: **Name**, **Birth Date**, **Gender**, **Retiree, Death Date** and **HBO Phone.**



HEADER DEFINITIONS	
FIELD NAME	DEFINITION
Name	Name of the Participant whose Social Security Number appears in the "SSN" field
Birth Date	Participant's date of birth
Gender	Participant's gender: Male or Female
Retiree	Is the Participant retired from CalPERS? Yes or No
Death Date	If applicable, the death date of Participant is displayed
Extract Date/Time (top of screen)	Date when PI was last updated. For more information, see "Special Features of the System."
SSN	Participant Social Security Number
As Of Date	See "Participant Inquiry Features"

If this is the correct Participant, click on one of the tabs listed below:



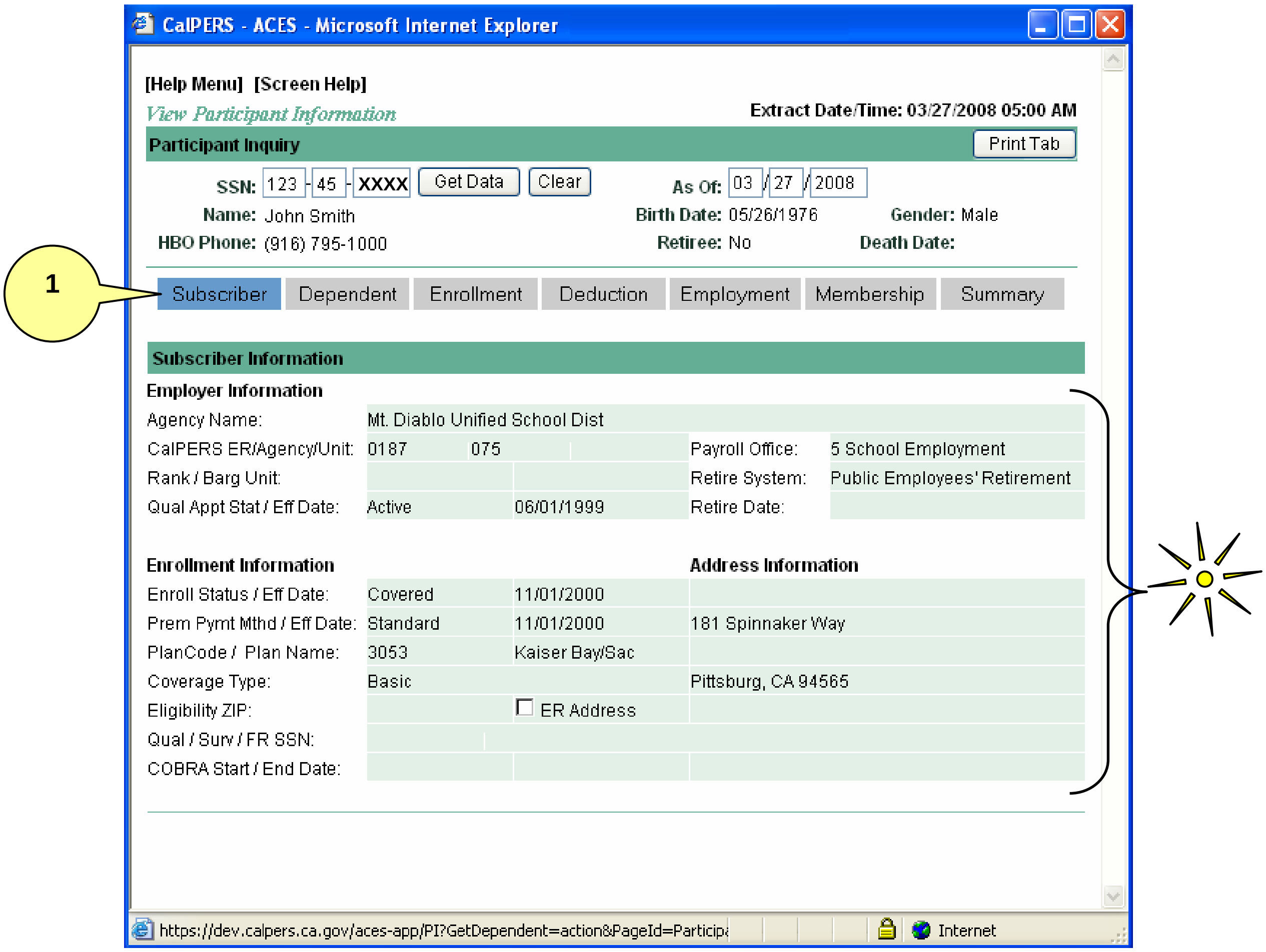
TAB DEFINITIONS	
INFORMATION TABS	DEFINITION
1. Subscriber	Displays details on Employer, Enrollment and Address information for the current employer
2. Dependent	Lists the currently enrolled dependents for the selected Participant and shows additional details about each dependent including, if applicable, information on the dependent's disabled dependent certification
3. Enrollment	Displays enrollment history for the selected Participant
4. Deduction	Displays deduction history for the selected Participant
5. Employment	Displays all employment associated with Membership and/or Health enrollment history. The information displays according to agency access rights.
6. Membership	Displays information associated with membership
7. Summary	General information about Participant

Employers who contract for Health and Membership will see tabs 1 through 7.
Employers who contract for Membership only will see tabs 5, 6 and 7.
Health Carriers will see tabs 1 through 4 for their current enrollees.

NOTE:
If information on these tabs is incorrect, please contact CalPERS ERCC at
888 CalPERS (or **888**-225-7377).

1. Subscriber Tab

The Subscriber tab displays details on the participant's employer, health enrollment, and mailing address based on the As Of Date.

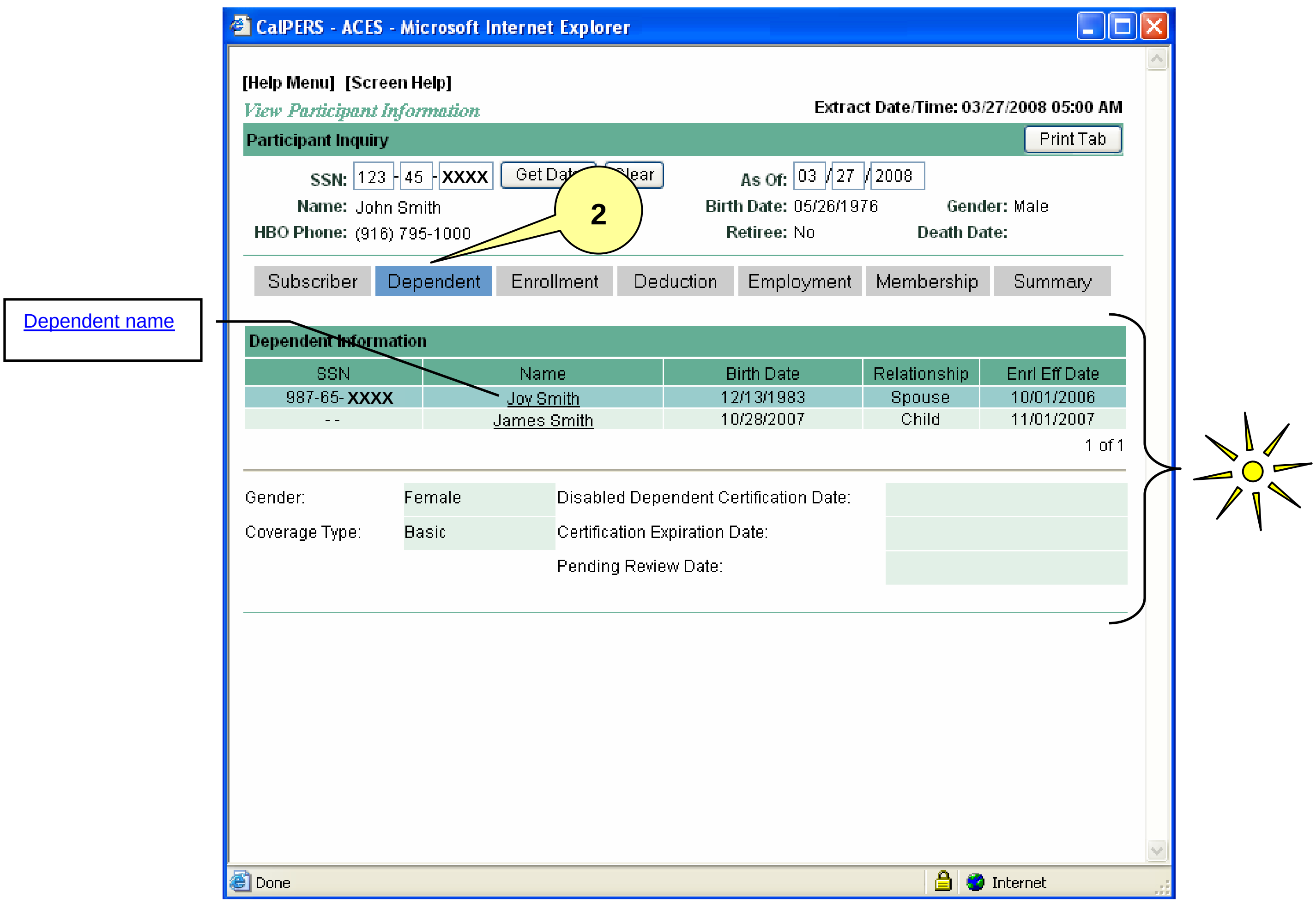


SUBSCRIBER TAB DEFINITIONS	
COLUMN NAMES	DEFINITION
CalPERS ER/Agency/Unit:	**State Agencies:** *CalPERS ER* code is a unique number assigned by CalPERS to each Employer. *Agency* code is the Agency code used by State Controller's Office. *Unit* code is the Unit code used by State Controller's Office.
	Public Agency and School Employers: *CalPERS ER* code is a unique number assigned by CalPERS to each Employer. *Agency* code field is not applicable (blank). *Unit* code is a number assigned by CalPERS for school districts and courts.
	Non-Central State Agencies, Public Agency, and Non-PERS Employers: *CalPERS ER* code is a unique number that CalPERS assigns to each Employer. *Agency* code field is not applicable (blank). *Unit* code field is not applicable (blank).
Rank/Barg. Unit:	**State Agencies:** Abbreviation for Participant's Collective Bargaining *Rank/Unit code.* Rank (Collective Bargaining Rank): Participant designation assigned to a State employee. E.g., R = Rank and File, E = Exempt, etc. Unit (Collective Bargaining Unit): unit code assigned to a State employee. E.g., 1 = Administrative, Financial, and Staff Services, etc.
Qual Appt Stat/Eff Date:	Describes status of appointment that qualified a Participant to enroll in benefits. The Effective Date is the event date that qualified Participant to enroll.
Payroll Office:	Alpha or numeric code which identifies Participant's pay entity
Retire System:	Participant's retirement system: ***PERS***, ***STRS***, ***JRS***, ***LRS***, ***MRS***, or ***Non-PERS***
Retire Date:	Participant's retirement date
ENROLLMENT INFORMATION	DEFINITION
Enroll Status/Eff Date:	Enrollment status: ***Covered*** or ***Not Covered***. Effective Date is the date the current Enrollment Status was effective.
Prem Pymt Mthd/Eff Date:	Payment method: ***Standard***, ***Direct Pay*** or ***COBRA***. Effective Date is the date the current Premium Payment Method was effective.
Plan Code/Plan Name:	Health plan code/party rate and health plan name
Coverage Type:	Health coverage type for the Participant: ***Basic*** or ***Medicare***
Eligibility Zip:	Participant's ZIP Code if different than Mailing Address
ER Address:	This box will be checked if the Eligibility ZIP Code is that of the employer
Qual/Surv/FR SSN:	Qual (Qualifying SSN) = the SSN of the deceased employee/retiree OR SSN of employee/retiree from whom the COBRA enrollee qualified. Surv (Survivor SSN) = the SSN of a deceased employee/retiree. FR SSN (Financially Responsible SSN) = the SSN under which the premium payment for this enrollment will be made.
COBRA Start/End Date:	Start and end dates of the COBRA enrollment period

2. Dependent Tab

The Dependent tab displays information on currently enrolled dependent(s) of the selected Participant based on the As Of Date and shows additional details about each dependent including, if applicable, information on the dependent's disabled dependent certification.

If there are multiple dependents, click on each dependent name for additional information.

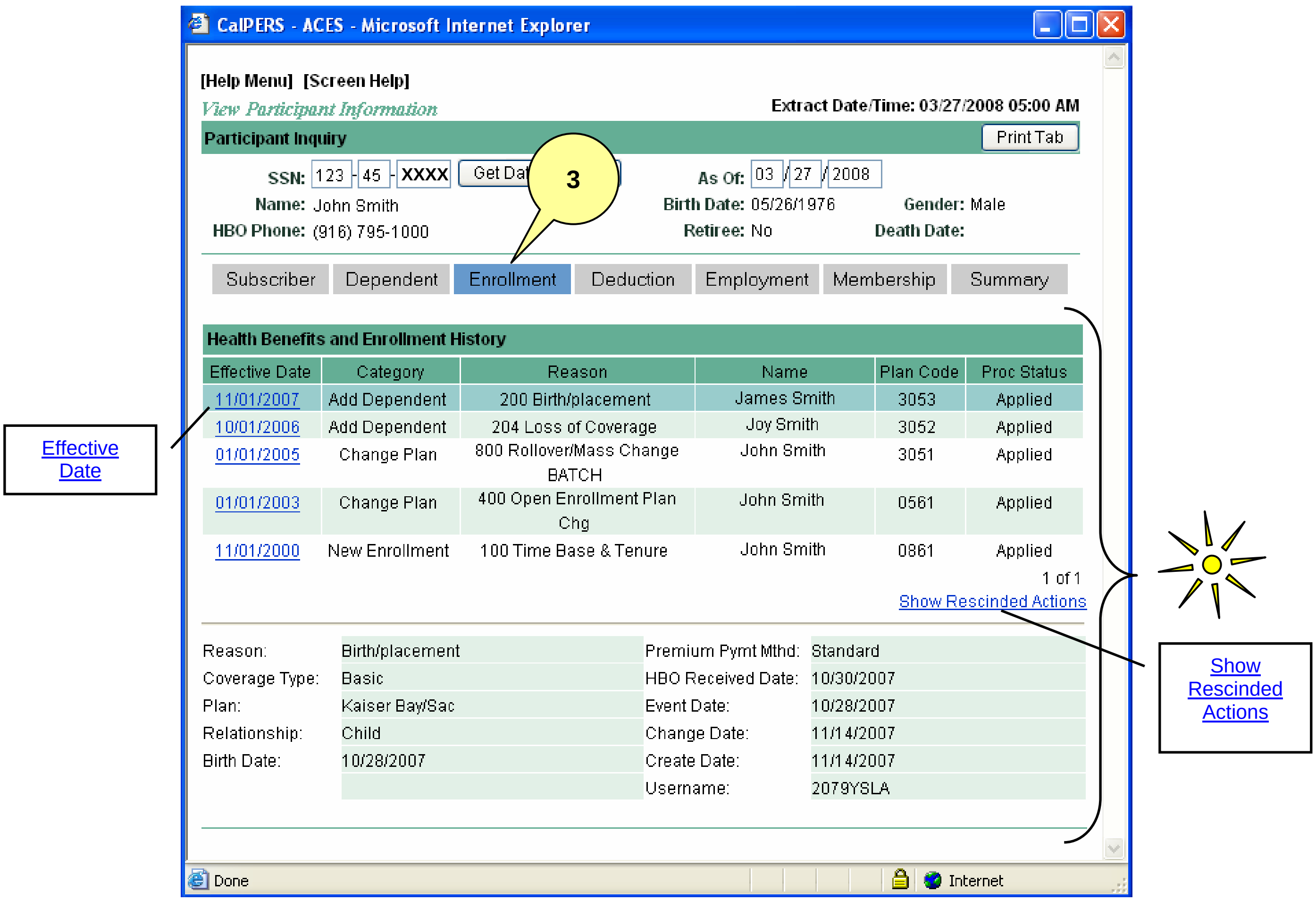


DEPENDENT TAB DEFINITIONS	
COLUMN NAMES	DEFINITION
SSN	Dependent's Social Security Number
Name	Dependent's name
Birth Date	Dependent's date of birth
Relationship	Dependent's relationship to the Participant
Enrl Eff Date	Effective date of the Dependent's enrollment action
FIELD NAMES	DEFINITION
Gender:	The gender of the Dependent: Male or Female
Coverage Type:	The health coverage type for the Dependent: ***Basic*** or ***Medicare***
Disabled Dependent Certification Date:	The initial date of the Dependent's certification as disabled. A date in this field indicates the individual has been certified to continue on the health enrollment beyond his/her 23rd birthday.
Certification Expiration Date:	The date when the Dependent's current disabled certification expires
Pending Review Date:	A date in this field indicates the Dependent's disabled certification is under review. If the individual is not certified by this date, his/her health coverage will be terminated.

3. Enrollment Tab

The Enrollment tab will display details for health transactions that were processed. When there are multiple transactions, click on the Effective Date of a transaction for additional information.

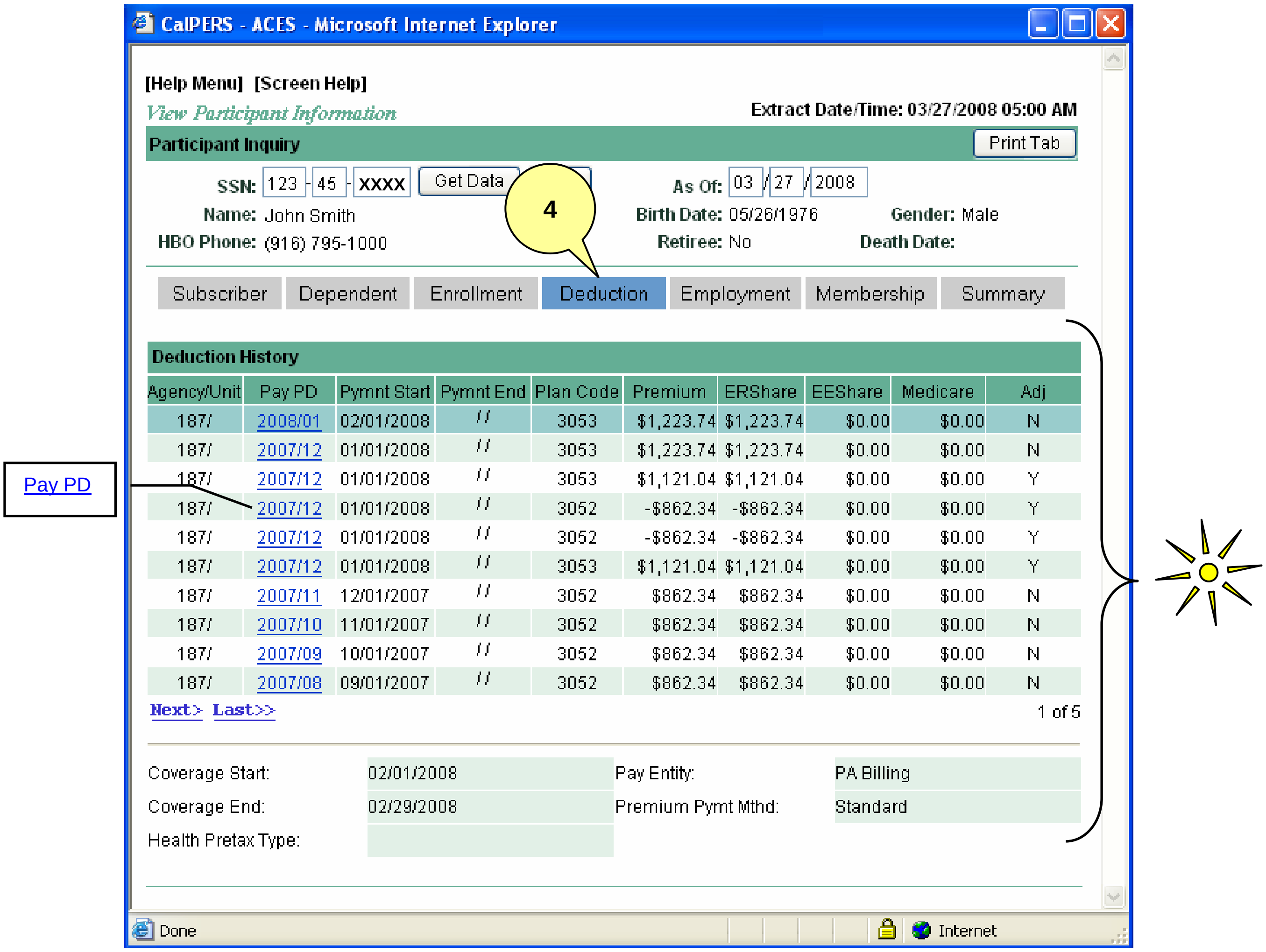
A rescinded transaction is a transaction that was processed and later voided. Click on Show Rescinded Actions to display any rescinded transactions.



ENROLLMENT TAB DEFINITIONS	
HEALTH BENEFITS AND ENROLLMENT HISTORY	DEFINITION
Effective	Effective date of the selected transaction
Category	The Reason group heading used to identify the transaction reason type
Reason	The numeric code that identifies the reason for the selected transaction
Name	Name of the Participant/Dependent involved in the selected transaction
Plan Code	Health plan code/party rate that resulted from processing the selected transaction
Proc Status	Describes the updated status of the transaction (i.e. Applied or Rescinded) to the CalPERS database
Show Rescinded Actions	A rescinded transaction is a transaction that was processed, and then later voided. To see the any rescinded transactions, click Show Rescinded Actions.
ADDITIONAL FIELDS	DEFINITION
Reason:	A detailed description of the transaction Reason Code shown in the "Reason" column for the selected transaction
Coverage Type:	The coverage type for the Dependent named in the selected transaction: ***Basic*** or ***Medicare***
Plan:	Health plan name
Relationship:	Describes the dependent's relationship to the Participant
Birth Date:	Birth date of the Participant/Dependent named in the selected transaction
Premium Pymt Mthd:	Description of the premium payment method: ***Standard, Direct Pay*** or ***COBRA***
HBO Received Date:	Date enrollment document was received in the employer's office
Event Date:	Date of the event that generated the selected transaction
Change Date:	Date the selected transaction was added or changed in the system
Create Date:	Date the selected transaction was originally added to the system. May be different from Change Date if for a rescinded transaction.
Username:	Login ID of the individual who keyed the selected enrollment transaction

4. Deduction Tab

The Deduction tab displays details for premiums and deduction history. Click on Pay PD for additional information if there is a retroactive money adjustment. The Coverage Start and End date (premium month) will display at the bottom of the screen.

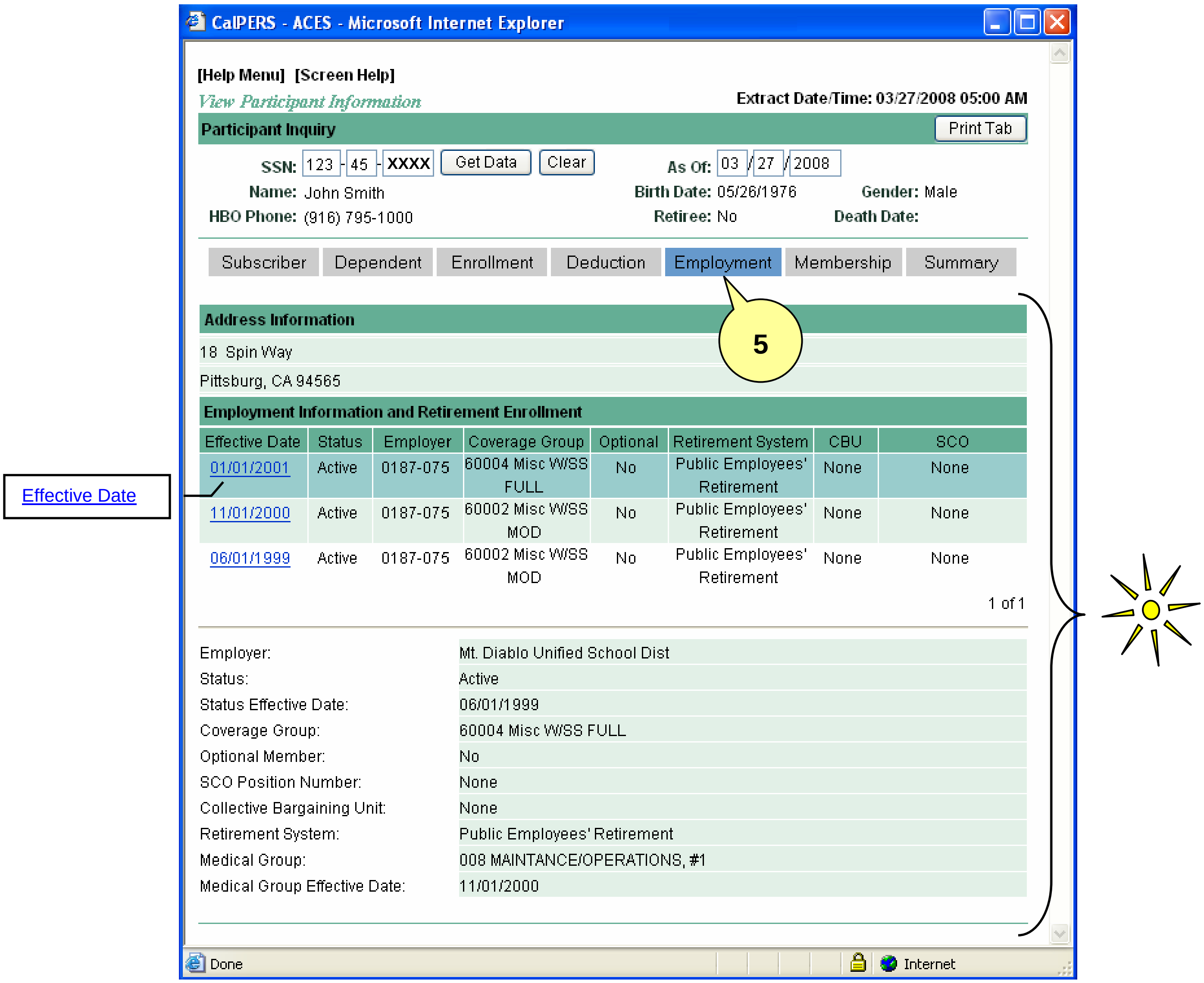


Agency/Unit	Pay PD	Pymnt Start	Pymnt End	Plan Code	Premium	ERShare	EEShare	Medicare	Adj
187/	2008/01	02/01/2008	//	3053	$1,223.74	$1,223.74	$0.00	$0.00	N
187/	2007/12	01/01/2008	//	3053	$1,223.74	$1,223.74	$0.00	$0.00	N
187/	2007/12	01/01/2008	//	3053	$1,121.04	$1,121.04	$0.00	$0.00	Y
187/	2007/12	01/01/2008	//	3052	-$862.34	-$862.34	$0.00	$0.00	Y
187/	2007/12	01/01/2008	//	3052	-$862.34	-$862.34	$0.00	$0.00	Y
187/	2007/12	01/01/2008	//	3053	$1,121.04	$1,121.04	$0.00	$0.00	Y
187/	2007/11	12/01/2007	//	3052	$862.34	$862.34	$0.00	$0.00	N
187/	2007/10	11/01/2007	//	3052	$862.34	$862.34	$0.00	$0.00	N
187/	2007/09	10/01/2007	//	3052	$862.34	$862.34	$0.00	$0.00	N
187/	2007/08	09/01/2007	//	3052	$862.34	$862.34	$0.00	$0.00	N

DEDUCTION TAB DEFINITIONS	
DEDUCTION HISTORY COLUMNS	DEFINITION
Agency/Unit	State Controller's (SCO) agency/unit code for State Agencies; Agency code for Public Agency or School Employers
Pay PD	Pay Period from which the premium payment was made
Pymnt Start	For a current premium payment, the date when the payment was made. For a payment adjustment, the start date for the adjustment.
Payment End	The anticipated end date for an adjustment payment
Plan Code	Health plan code and party rate
Premium	Premium for the health plan
ER Share	Employer's share of the premium
EE Share	Employee (State) or annuitant's share of the premium
Medicare	State retiree reimbursement for the cost of Medicare Part B
Adj	Contains a "Y" for yes if the payment is a one-time adjustment
ADDITIONAL FIELDS	DEFINITION
Coverage Start:	First day of the coverage period to which this premium payment applies
Coverage End:	Last day of the coverage period to which this premium payment applies
Health Pretax Type:	**State Agencies:** Type of pretax status: ***Pre Tax Program***, ***TAP***, or ***FLEX***
Pay Entity:	Identifies the system making the premium payment to the health plan
Premium Pymt Mthd:	Payment method, either: **Standard, Direct Pay** or **COBRA**

5. Employment Tab

The Employment tab displays all employment associated with Membership and/or Health enrollment history. Click on an Effective Date if multiple transactions are present. Additional information about the selected date appears at the bottom of the screen.



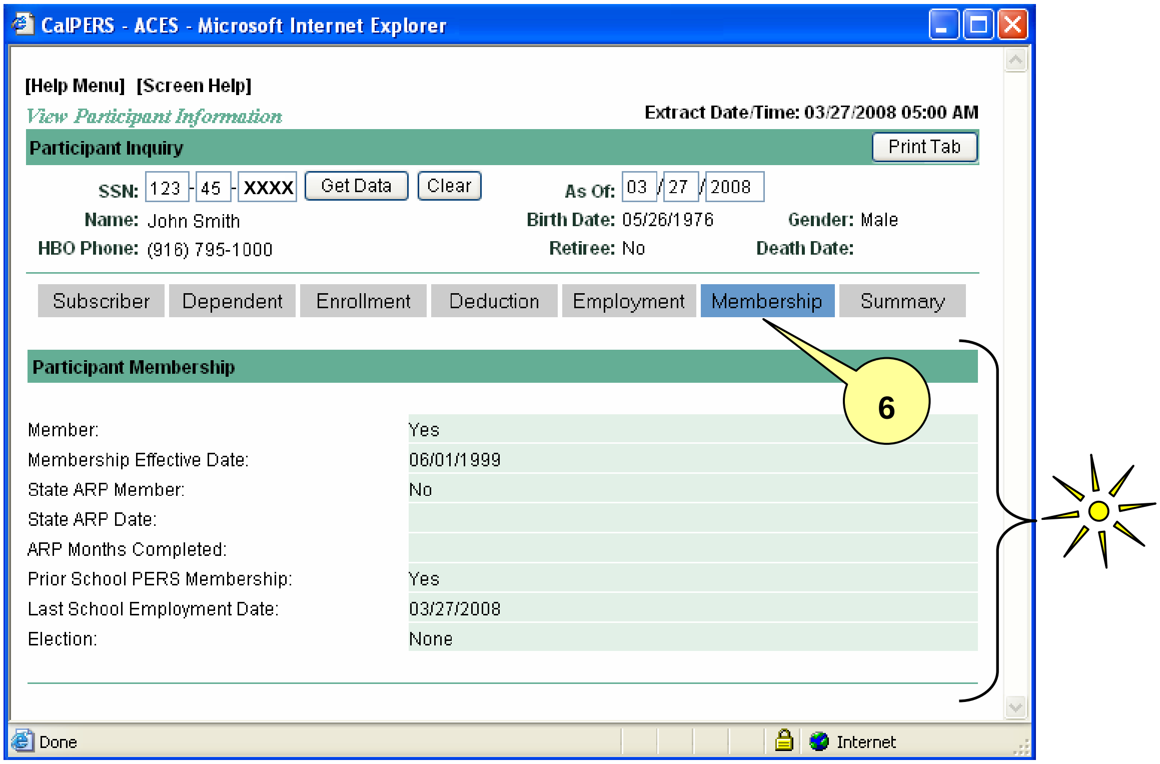
Note: Employment history is only viewable for the Participant's current employer.

EMPLOYMENT TAB DEFINITIONS	
FIELD NAME	DEFINITION
Effective Date	Effective date of the selected transaction.
Status	Position Status: **Active**: Participant is currently working in this position or returns after a separation or Leave. **Educational Leave**: (State Employees only) Leave is granted for the purpose of further education. **Family Leave of Absence**: Approved to care for ill/injured family member. **Industrial Disability Leave** (Industrial Disability Leave): Person in a safety classification is placed on leave for a work-related injury or illness. Available to local misc. by contract amendment only. **JRS Leave of Absence:** Select this status only when the Retirement system is JRS1 or JRS2. **Layoff**: Layoff, or in lieu of involuntary transfer. **Maternity/Paternity Leave of Absence**: Leave granted for the purpose of giving birth, and/or caring for a newborn child. **Military Leave**: (Military Leave of Absence): Person is absent from work due to active service with one of the Armed Forces of the United States. **Non-Industrial Leave of Absence**: Person is off work and receiving temporary disability payments for a non-job related injury or illness. **Permanent Separation**: Person separates from employment permanently. This status is required for a person to be eligible to receive a REFUND of CalPERS' contributions. **Sabbatical Full** (Sabbatical Leave - Full Pay): Person is on approved leave, but is still receiving full compensation. **Sabbatical Part** (Sabbatical Leave - Partial Pay): Person is on approved leave, but is receiving partial compensation for time not worked. **Service Leave of Absence**: Person is on an approved leave for the purpose of service with a governmental agency; a university or college; or a nonprofit organization serving a public function. **Special Leave of Absence**: (For State employees only) A "Partial LOA," or "Special Leave for Research or Creative Activity." **Temporary Separation**: Temporarily separated from employment for minimum of two months (a separation less than two months should not be reported to CalPERS) and is expected to return to work. **To Alternate Retirement Plan**: A non-vested member who is subject to a GC 20306 Retirement Plan is working fewer than 20 hours per week, and must switch from CalPERS coverage to the Alternate Retirement Plan. **Workers' Compensation Leave of Absence**: Worker in "miscellaneous" (i.e., non-safety) classification is placed on leave for a work-related injury or illness, and will be/is receiving Workers' Compensation benefits.
Employer	Participant's employer code
Coverage Group	Five-digit code which is assigned to a group of employees within an agency. It is used to identify, within the employer, groups of members with different benefit packages. The five-digit code is formed by combining a number indicating the type of employer or employment (first digit), coverage groupings (second digit), a second tier or merger indicator (third digit), and a 2-digit sequential number.
Optional	Optional Member - A person (e.g., an elective officer) who has the right to elect membership in CalPERS, and who is excluded from PERS membership unless and until he/she elects membership.

EMPLOYMENT TAB DEFINITIONS	
Retirement System	Retirement System - Participant's retirement system: ***PERS***, ***STRS***, ***JRS***, ***LRS***, ***MRS***, or ***Non-PERS.***
CBU	**State Employees Only**: Abbreviation for the Participant's Collective Bargaining *Rank/Unit code.* Rank (Collective Bargaining Rank): Participant designation assigned to a State employee. E.g., R = Rank and File, E = Exempt, etc. Unit (Collective Bargaining Unit): unit code assigned to a State employee. E.g., 1 = Administrative, Financial, and Staff Services, etc.
SCO	**State Employees Only**: State Controller's Office (SCO) Position Number
Employer	Name of the Participant's employer
Status	See definition on previous page
Status Effective Date	Effective date of "Position Status" mentioned on previous page
SCO Position Number	**State Employees Only**: State Controller's Office (SCO) Position Number
Collective Bargaining Unit	**State Employees Only**: Abbreviation for the Participant's Collective Bargaining *Rank/Unit code.* Rank (Collective Bargaining Rank): Participant designation assigned to a State employee. E.g., R = Rank and File, E = Exempt, etc. Unit (Collective Bargaining Unit): unit code assigned to a State employee. E.g., 1 = Administrative, Financial, and Staff Services, etc.
Retirement System	Participant's retirement system: ***PERS***, ***STRS***, ***JRS***, ***LRS***, ***MRS***, or ***Non-PERS (Other Retirement)***
Medical Group	Medical Groups are identified by three-digit codes* established differently for each **Public Agency or School Employer**. If contracting for health benefits by separate recognized employee groups, examples are as follows: * 001 TEACHERS' ASSOCIATION 002 FIREFIGHTERS' ASSOCIATION 003 POLICE OFFICERS' ASSOCIATION 004 MUNICIPAL EMPLOYEES' ASSOCIATION "000 ALL EMPLOYEES" is used when contracting for health as a whole agency. There is only one Medical Group for the agency. "999 CONVERSION GROUP" may be selected by the system during conversion. For **State** employees, the Collective Bargaining Unit derives the Medical Group.
Medical Group Effective Date	The effective date of the medical group

6. Membership Tab

The Membership tab displays information associated with membership.



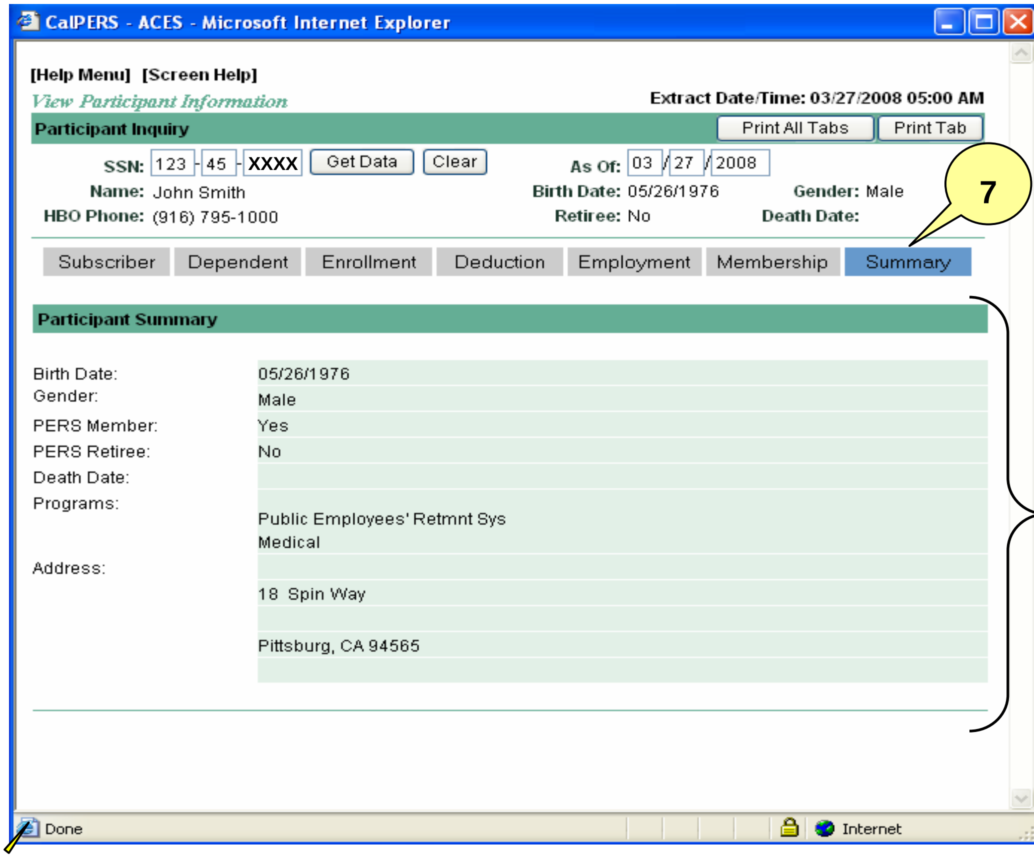
The following fields will be viewable for:

- All employers:
    - Member
    - Membership Effective Date
- State and Non-Central Agencies only:
    - State ARP Member
    - State ARP Date
    - ARP Months Completed
- School Employers only:
    - Prior School PERS Membership
    - Last School Employment Date
    - Election

MEMBERSHIP TAB DEFINITIONS	
PARTICIPANT MEMBERSHIP	DEFINITION
Member:	Is the Participant a member of CalPERS? Yes = member has funds on deposit with CalPERS ***NOTE***: "Yes" does not mean the member is actively employed. No = participant either refunded or was enrolled in health benefits only. ***NOTE***: *A Participant who has retired or received a refund of contributions is no longer considered a member of CalPERS.*
Membership Effective Date:	Effective date of CalPERS membership.
State ARP Member:	Is the Participant a member of the State Alternate Retirement Program (ARP)? Yes, No, or Not eligible.
State ARP Date:	The original effective date that the Participant became a State ARP member.
ARP Months Completed:	The number of months the Participant has completed since the State ARP effective date (0 – 24 months).
Prior School PERS Membership:	Indicates "Yes" if there is prior school employment with PERS membership; "No" if there is not; and "Refunded" if membership funds were refunded. May also indicate "Call CalPERS" if a determination cannot be made. ***NOTE***: *ONLY School employers will be able to view*
Last School Employment Date:	This field shows ONLY if the employee has worked for a school, such as County School Office, School District, Board of Governors of Community Colleges, Department of Education, etc. ***NOTE***: *ONLY School employers will be able to view*
Election:	Will show "Yes" or "None". Used for Classified employees in PERS who receive an appointment to a Certificated position. They have a 60-day opportunity to elect to remain in PERS. "Yes" indicates they have made this election. ***NOTE***: *ONLY School employers will be able to view*

7. Summary Tab

The Summary tab will display a summary of the Participant's demographic information as well as participation in CalPERS health and/or retirement programs.

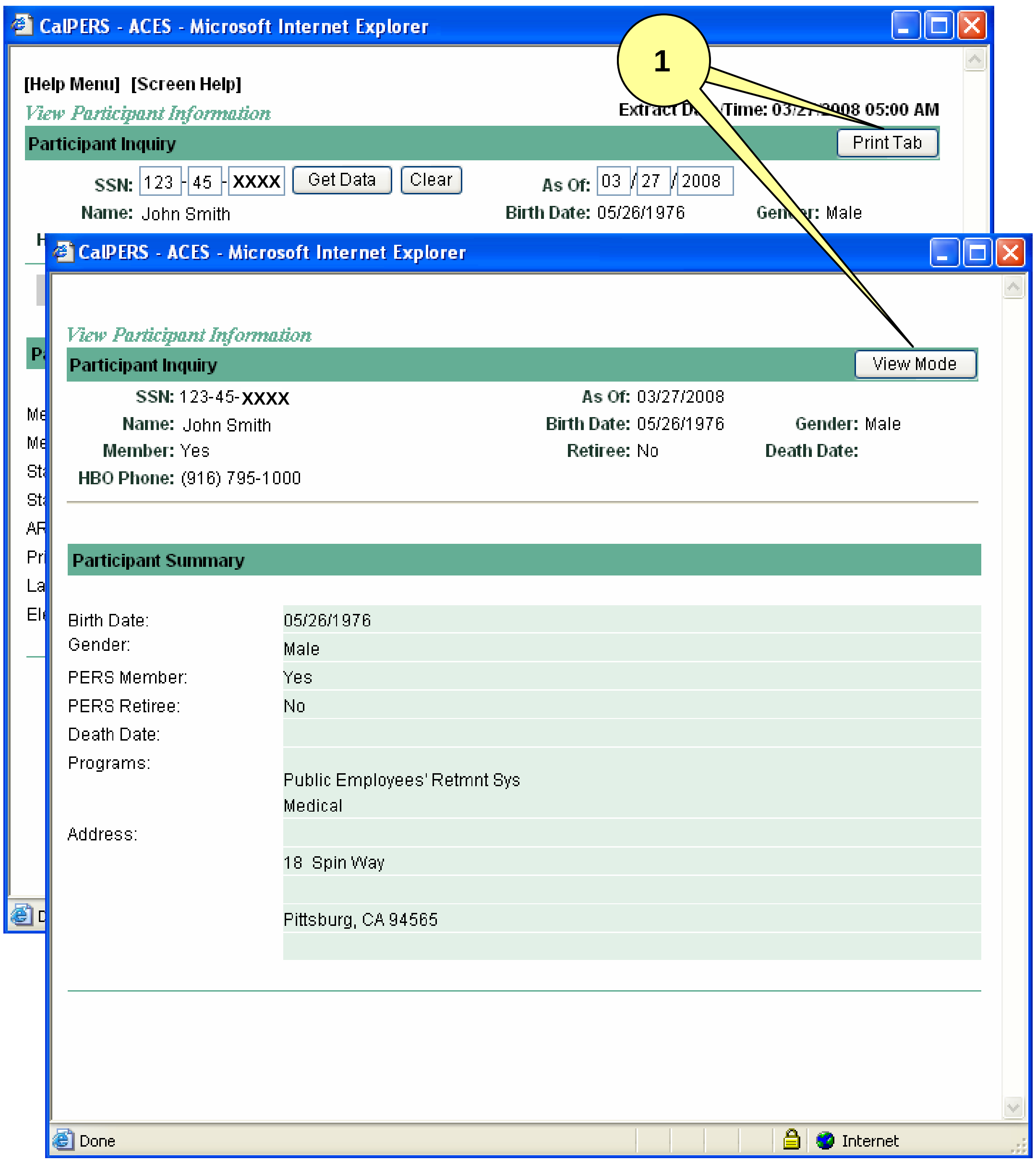


SUMMARY TAB DEFINITIONS	
PARTICIPANT SUMMARY	DEFINITION
Birth Date:	Participant's date of birth
Gender:	Participant's gender: Male or Female
PERS Member:	Is the Participant a member of CalPERS? Yes or no. *NOTE*: *A Participant who has retired or received a refund of contributions is no longer considered a member of CalPERS.*
PERS Retiree:	Is the Participant retired from CalPERS? Yes or No.
Death Date:	If applicable, the death date of Participant
Programs:	Name(s) of CalPERS program with which Participant is associated
Address:	Participant's address

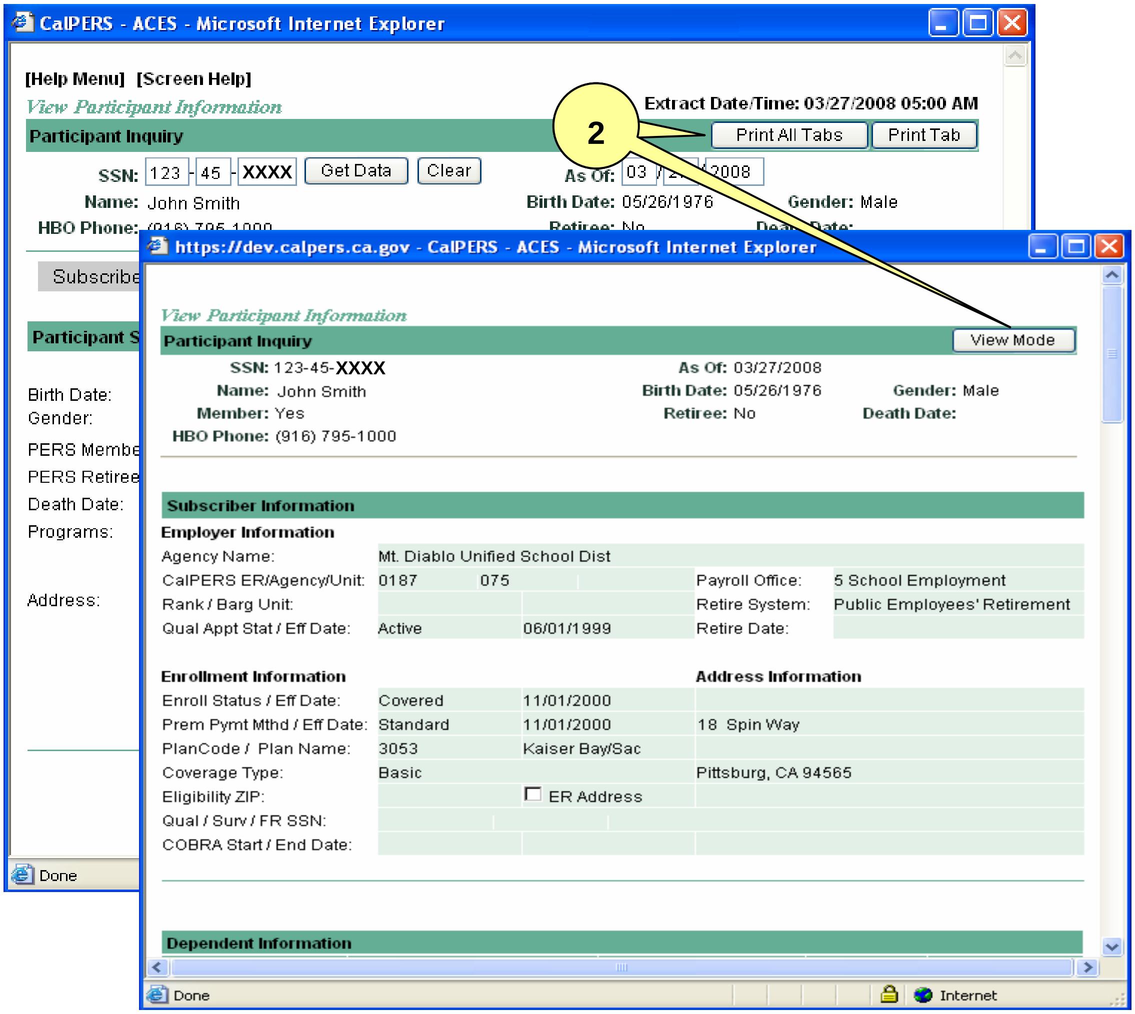
Printing

At any time, you can print the contents of any Participant Inquiry screen by the following methods:

1. Individual Tabs: Each individual tab can be printed by clicking on the tab, then clicking on **Print Tab**. This opens up the tab and formats it for printing. Then press "Ctrl + P" for printing. Click **View Mode** to return to normal viewing mode.



2. All Tabs: In order to print all of the tabs, you must open each of the tabs by clicking on them (in any order). Upon opening the last tab, click **Print All Tabs**, then press "Ctrl + P" to print all tab information in a continuous sequence. Click **View Mode** to return to normal viewing mode.



Or, you may press the **Print Screen** key (to the right of the F12 key), then paste the clipboard contents into a document as follows:

- On your desktop task bar, select **Start**
- Select **Programs**
- Select your word processing program (e.g., Microsoft Word)
- Open a new document
- In the Menu Bar at the top of the window, select **Edit**
- Select **Paste** on the Edit Menu (The saved PI screen displays in the new document)
- Select **File** in the Menu Bar at the top of the window
- Select **Print** on the File Menu

Participant Inquiry System Messages

Access is limited to current agency

This message will be displayed if the user attempts to access data for a Participant no longer employed by their agency. If the employer has completed the transaction to enroll the Participant and you are still getting this message, please call **888 CalPERS** (or **888**-225-7377) and ask CalPERS staff to update this transaction.

Out-of-Use Social Security Number

If the user enters a Social Security Number that is no longer in use, a message window gives the user the corresponding active number, if there is one. Acknowledge the message, then query for the active number.

Future Transactions Pending

This message indicates future health events related to the current Participant.

For a future new health enrollment, it may be necessary to change the As Of Date to a future date and click **Get Data**.

No employment information with your agency is available for this SSN

This message will appear for employers who try to access the SSN of a Participant who is not currently employed by their agency.

It may be necessary to change the As Of Date to a future date and click **Get Data**.

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ACCOUNT ADMINISTRATOR

The ACES User Account Maintenance function is designed so your agency can maintain your own ACES user accounts. The designated Account Administrator will grant access to employees within your organization.

Account Administrator Roles and Responsibilities

The Account Administrator performs the following maintenance activities for your agency's user accounts by:

- Creating new user accounts
- Modifying existing user accounts (adding or deleting ACES functions and/or changing user demographic information)
- Performing Password Maintenance (disabling, unlocking and resetting passwords for user accounts within your agency)
- Maintaining user contact information, such as:
  - Phone
  - Fax
  - E-mail address

In order to maintain information security and comply with the CalPERS ACES Security Agreement, it is the ACES Account Administrator's responsibility to:

- Have a signed *Employer User Security Agreement* (PERS-AESD-43) form on file for each employee with ACES access
- Maintain all signed *Employer User Security Agreement* (PERS-AESD-43) forms on file for the duration an employee is an active ACES user for your agency PLUS two (2) years following the deactivation or termination of the Agreement
- Immediately disable the ACES access of any employee no longer needing access, leaving employment, or taking an extended leave of absence
- Fill out online and electronically send the *Delete "ACES User Access"* (PERS-AESD-42) form to CalPERS using the "Submit" button. After using the "Submit" button, the form will be sent directly to the ACES e-mail box. Please do NOT fax a duplicate copy of the form to CalPERS. (However, if the CalPERS Web page or e-mail is not working, you may use a hard copy of the form, found on page 123 of this User Guide, manually fill it out, and fax it to ACES at 916-795-1523.)
- Maintain a copy of the *Delete "ACES User Access"* form (PERS-AESD-42) on file for two (2) years after the user has been deleted from your agency's ACES User List

NOTE: Do not fill out and send the AESD-42 if the employee is on a leave of absence and will resume ACES duties upon their return. When the employee leaves, please disable his/her account; when he/she returns and needs ACES access again, please call **888 CalPERS** (or **888**-225-7377) to have the account re-enabled.

Users should contact their Account Administrator for any issues relating to their user account. If the Account Administrator is unavailable, please call the CalPERS Employer Contact Center at **888 CalPERS** (or **888**-225-7377).

Security Guidelines

ACES provides a secure environment for transmitting sensitive employee information to CalPERS for processing. Creating a user account and granting an employee access to ACES will allow them to enter an environment with privileged employee information. Guidelines have been created to protect this personal information. The following are guidelines for providing access to ACES:

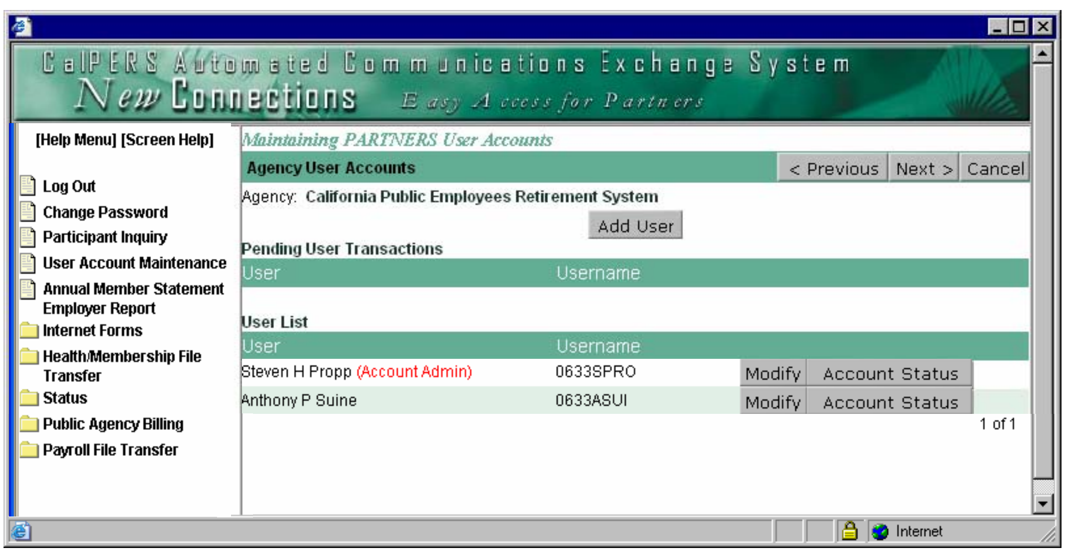
- CalPERS security documents must be filled out by all employees having access to ACES. You must keep a signed copy of all security documents on file for each Account Administrator and other ACES users at your agency. In the event of a CalPERS security review, you may be requested to provide security documents for all current and former ACES users.
- CalPERS security documents **must** be signed by both the **employee** and the **employee's supervisor/manager**.
- Only grant access to functions that CalPERS has approved or trained your agency to use. For example, if your agency has view-only access (Participant Inquiry or Public Agency Billing), then a user shouldn't be granted Internet Forms if he/she does not process transactions or has not been trained on Internet Forms. If you are unsure of what this security requirement entails, contact the Employer Contact Center at **888 CalPERS** (or **888**-225-7377) or see the ACES & Other Online Services Web page: http://www.calpers.ca.gov/index.jsp?bc=/employer/aces/user-guide-resources/security-forms.xml.
- The CalPERS Security Policy requires each person to have his or her own ACES account. **Users are not allowed to share user names and passwords.**
- CalPERS encourages your agency to designate more than one Account Administrator. In the event that the primary Account Administrator leaves your organization, changes positions, or is simply on vacation, another individual is able to maintain ACES user accounts.
- When an Account Administrator leaves an agency or no longer requires access to ACES, your agency should immediately disable their ACES account and submit a *Delete "ACES User Access"* (PERS-AESD-42) form to CalPERS and establish another Account Administrator for your agency.
- If security has been violated or ACES has been misused by a user, the Account Administrator should revoke the user's access to ACES immediately.

Logging On to the User Account Maintenance Function

Select **User Account Maintenance** from the Navigation Tree.

Agency User Accounts

This screen lists the current user accounts at your agency and, if applicable, will display any pending transactions. This screen serves as a "home page" for user account maintenance.



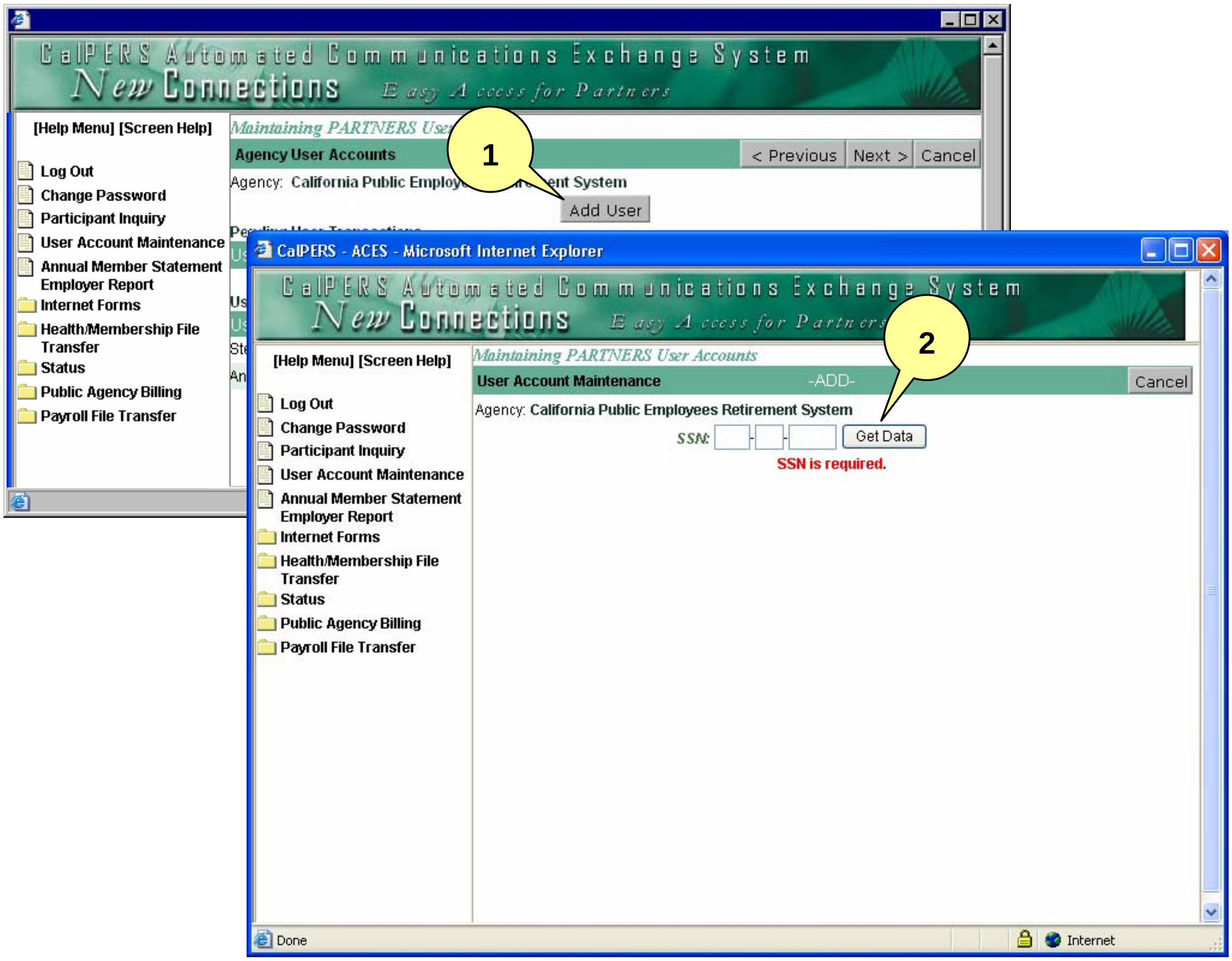
Through the **Agency User Accounts** table you can:

- Add new users
- Modify demographic information (e.g., edit phone number, e-mail address)
- Modify access rights
- Perform password maintenance (unlock accounts and reset passwords)
- Disable user accounts

Adding a New User

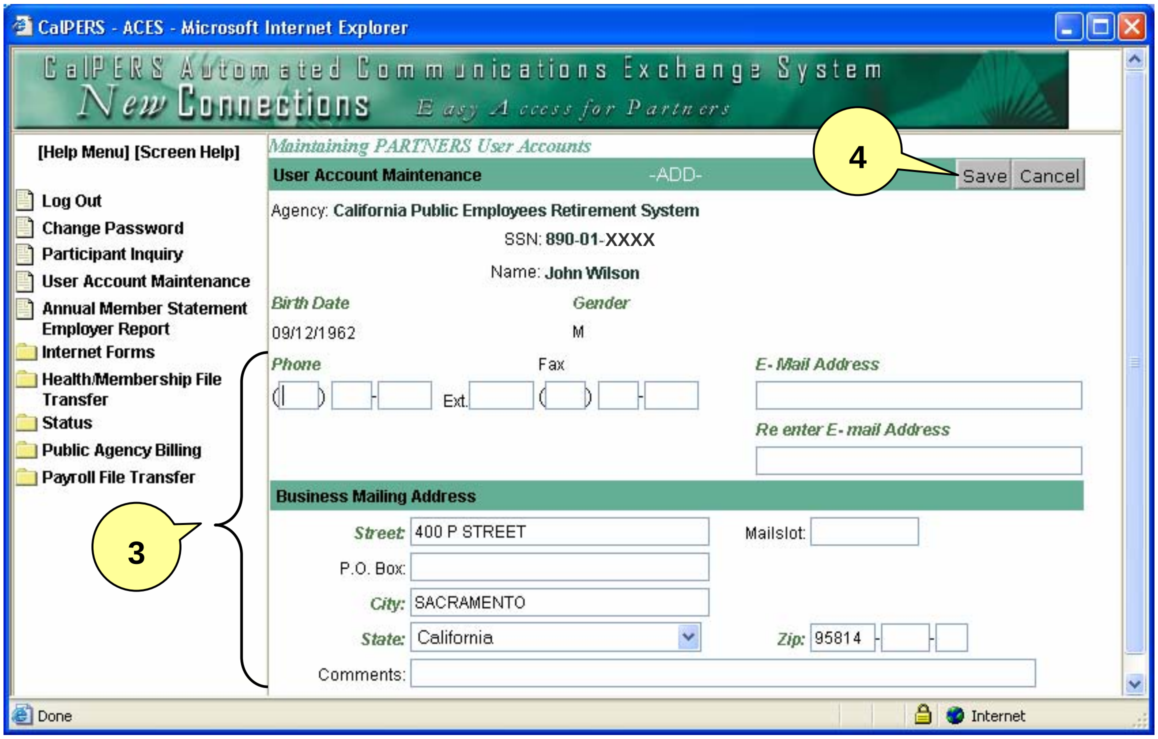
Have the employee fill out a security document (located at the end of this section or http://www.calpers.ca.gov/index.jsp?bc=/employer/aces/user-guide-resources/security-forms.xml).

1. Select **Add User** from the Agency User Accounts screen.
2. Type the SSN and click **Get Data**.



NOTE: You might enter an SSN and receive the error message "SSN XXX-XX-XXXX does not exist in the CalPERS database. Please contact us at **888 CalPERS** (or **888**-225-7377) for assistance." To resolve this error:

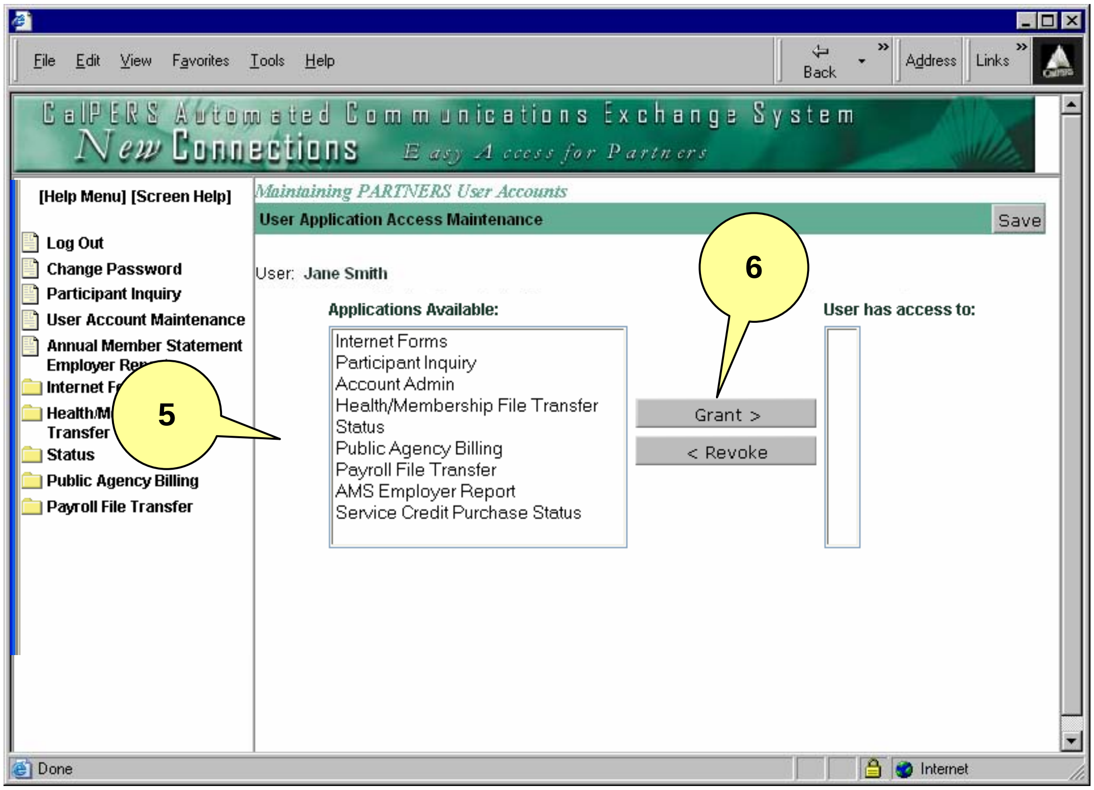
- Verify the SSN has been typed correctly
- If you've entered the SSN correctly, please fax the security document to CalPERS at 916-795-1523, Attention: ACES. CalPERS will add the new user for you.



3. Enter the demographic information for the user (*green/bold/italic* fields are required):
   - ***Phone*** (The user's business phone number)
   - Fax
   - ***E-mail Address***
   - ***E-mail Address*** (entered a second time for confirmation)
   - Business Mailing Address

4. Click **Save**. A new window will appear.

5. Select an ACES function from the "Applications Available" list at the left of the screen by clicking on the desired function.
   - You may grant multiple functions at once by holding down the "Ctrl" key and clicking on each desired function
6. Once function(s) are highlighted, click **Grant**.

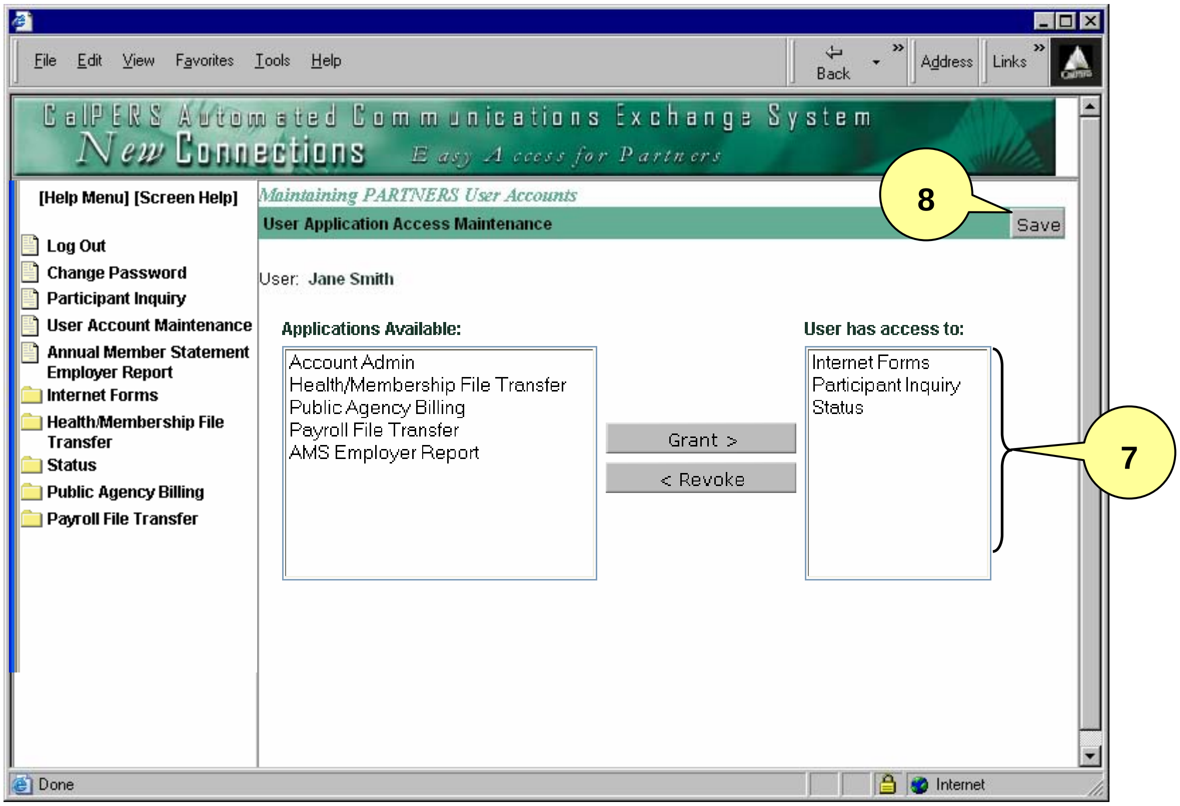


* **IMPORTANT NOTE**: When granting access to the **Internet Forms, Account Administrator,** or **Health/Membership File Transfer** applications, you MUST grant the user access to the **Status** application as well

Note: Agencies must maintain all signed *Employer User Security Agreement* (PERS-AESD-43) forms on file for the life of the agreement PLUS two (2) years after the agreement has ended to ensure ACES security compliance.

7. The function selected will move to the "User has access to" list.

- REMINDER: You should only grant access to functions for which your agency has been approved and trained. (See Security Guidelines section for more information or contact the Employer Contact Center at **888 CalPERS** [or **888**-225-7377] for more information.)

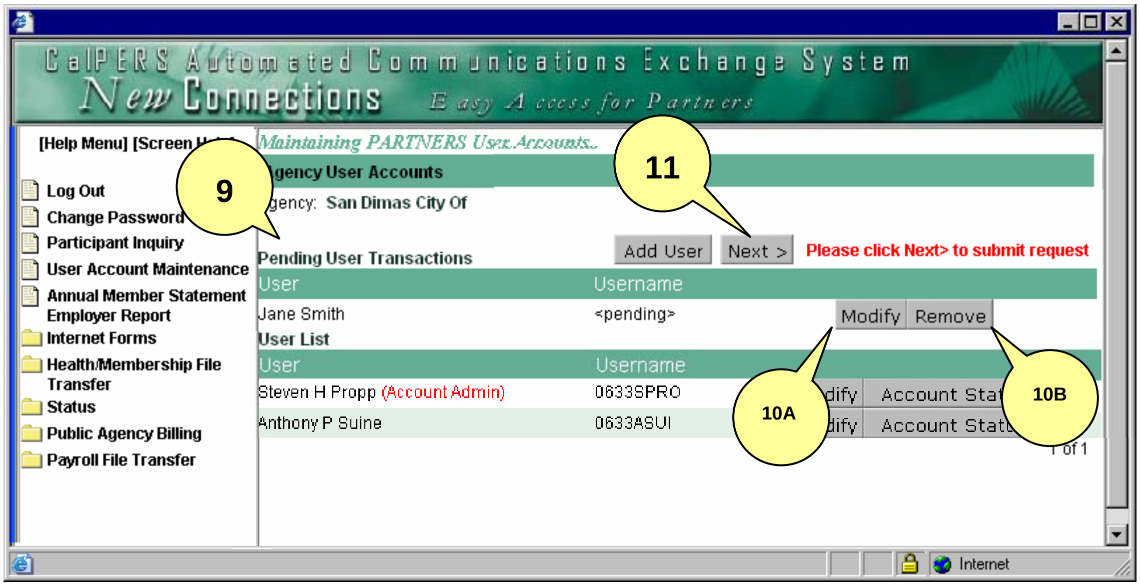


Repeat Steps 5 and 6 until all appropriate ACES functions have been added for this user.

8. Click **Save**.

9. The new user's name will appear in the "Pending User Transactions" list above the table of current users.

10. To add additional users, repeat Steps 1 through 10.



Optional:

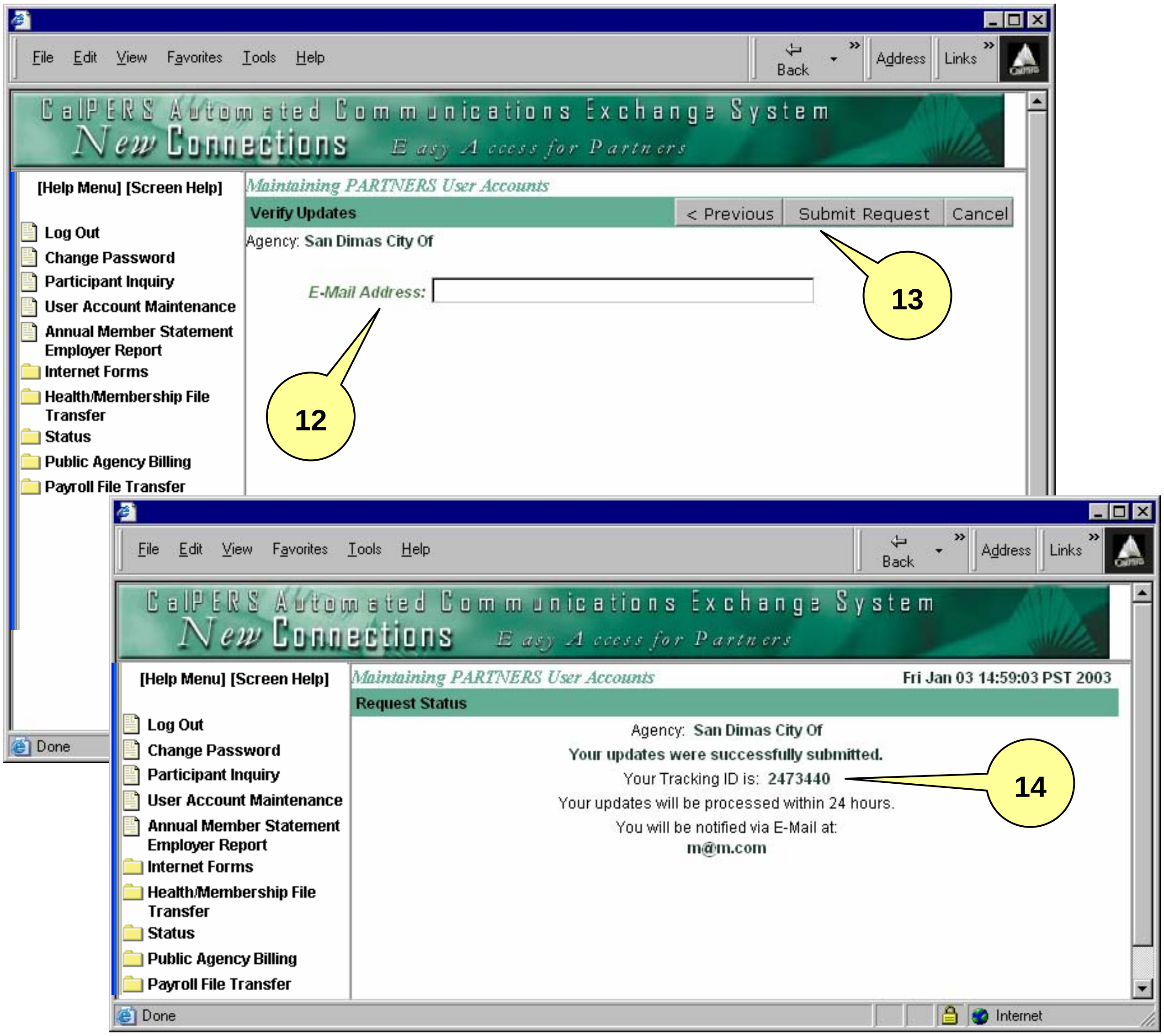
A. To change the demographic information or access to ACES functions for a new user, click **Modify**. The existing data for that user will appear. Make the desired changes and click **Save**.

B. If you've added a user in error, click **Remove** to delete the user. A dialog box will appear. Click **Ok** to remove the user or **Cancel** to keep the user.

11. When you are done adding users, click **Next** to submit the request to CalPERS.

Important: Pending User Transactions will be lost if you click outside of the Agency User Accounts screen before submitting your request to process Pending User Transactions to CalPERS.

12. Type the correct e-mail address where confirmation of your processed request is to be sent.



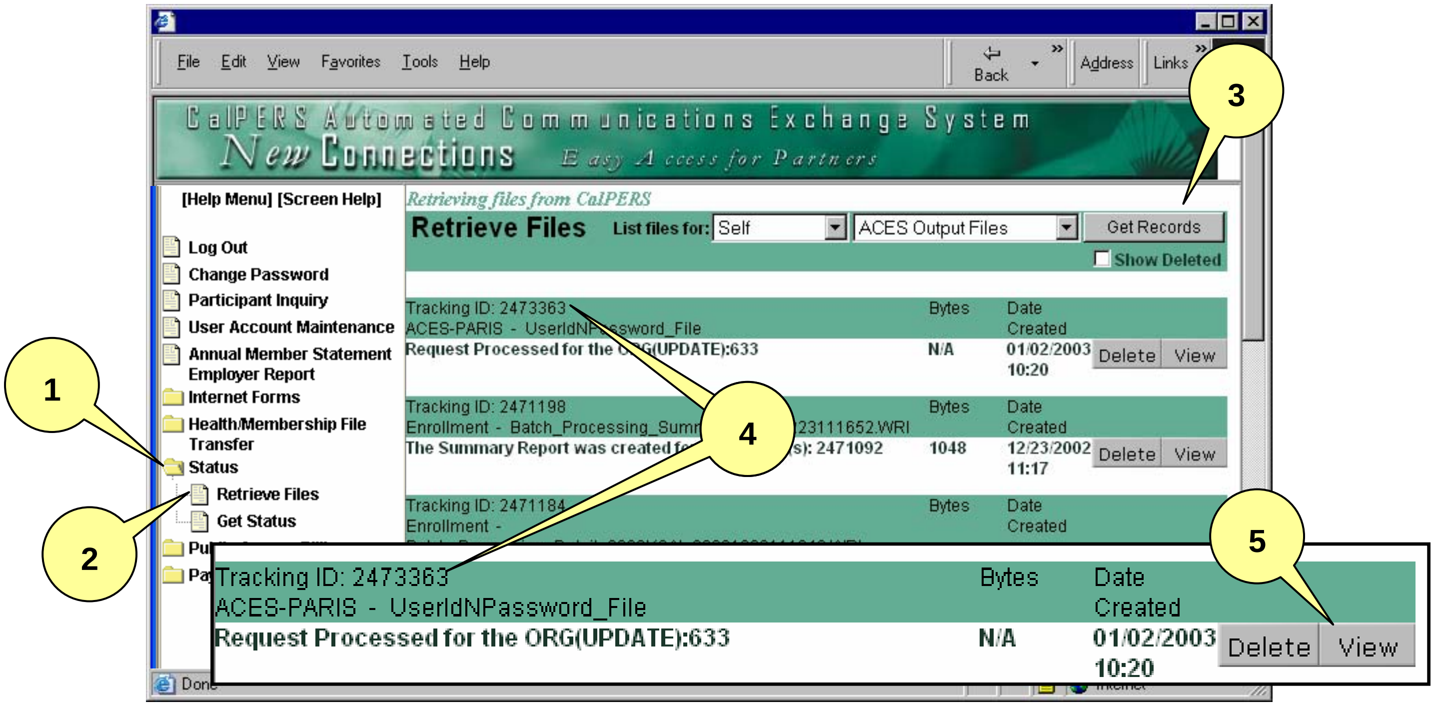
13. Click **Submit Request**.

14. Make note of the Tracking ID number.

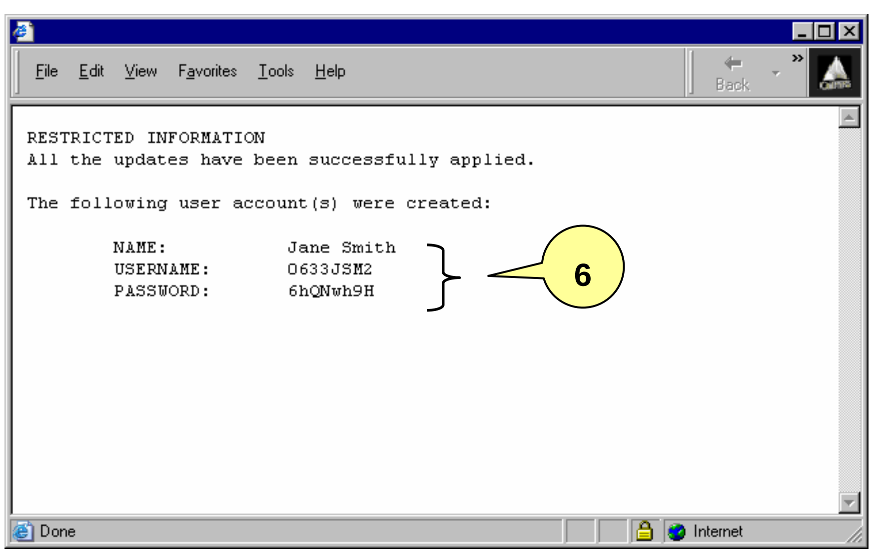
NOTE: Requests submitted before 6:00 p.m. are processed the same day. You will receive an e-mail when the username(s) and password(s) are available; however, new users will not have access to the applications of ACES until the following business day.

Retrieving Passwords for New Users

1. Select the **Status** folder.
2. Select **Retrieve Files**.



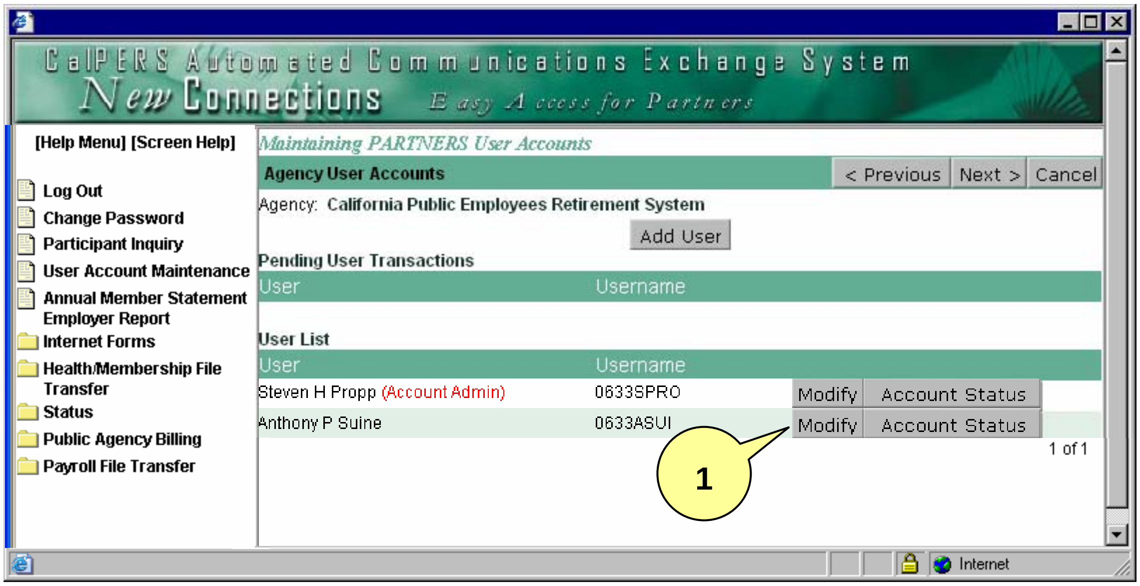
3. Click **Get Records**.
4. Locate the Tracking ID number from your request.
5. Click **View**.
6. The ACES Username(s) and Password(s) will be listed. Forward the username and password to the appropriate user(s).
NOTE: Neither the user name nor the password are case-sensitive.



Modifying User Information

Use the **Modify** button to make changes to a user's demographic information (e.g., address, phone number) and/or change a user's access to ACES functions.

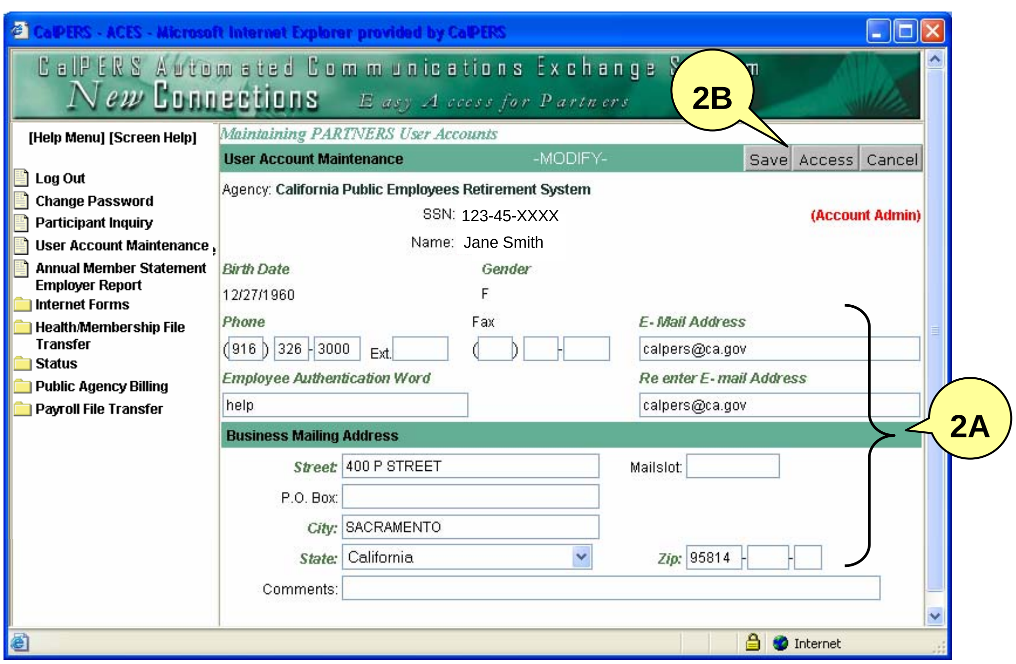
1. Click the **Modify** button from the Agency User Accounts screen.



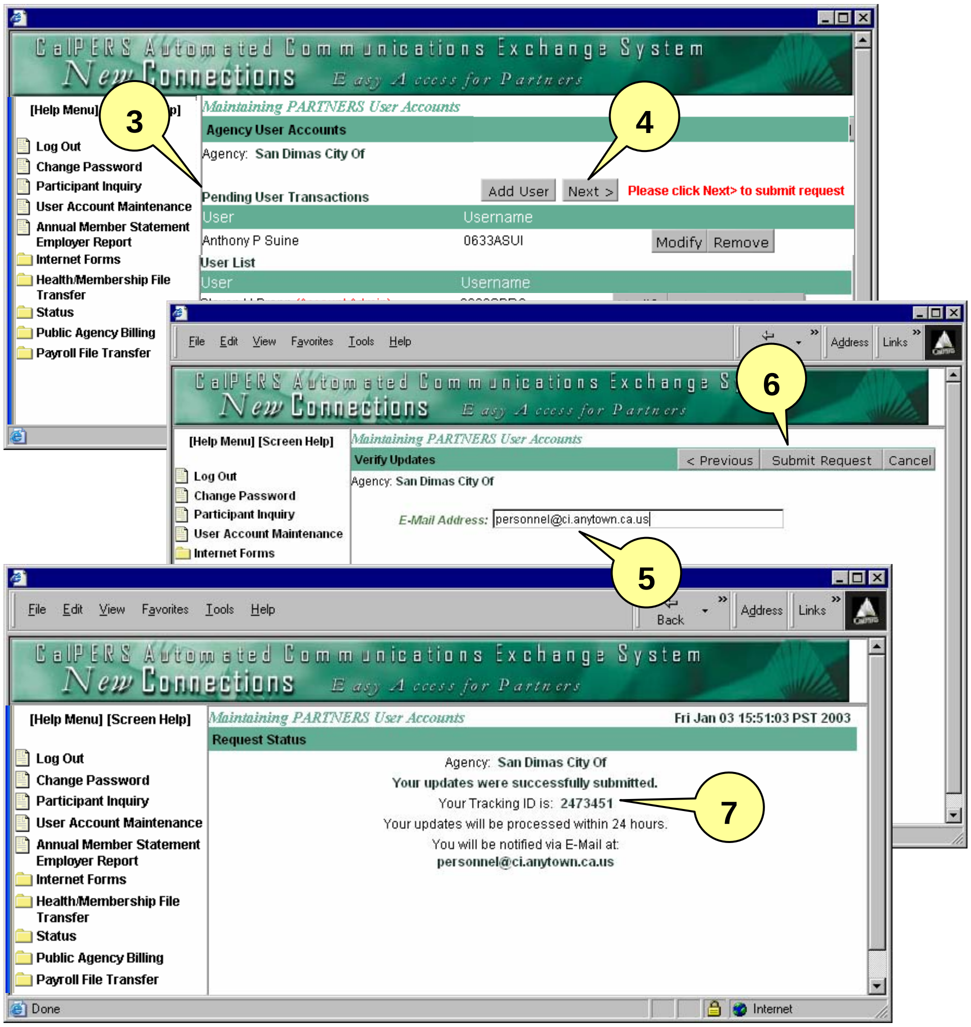
2. The user's information appears.

A. **For Demographic changes**: Make desired changes to the user's existing information. Click **Save** after you've made the appropriate changes. The Agency User Account screen will appear. Go to Step 3.

B. **For User Access changes**: Click the **Access** button from the Modify screen. The access screen will appear. Highlight the desired function to **Grant** or **Revoke** access (See Pages 113-114, Steps 5-9 for further details).



3. The modified user's name will appear in the "Pending User Transactions" list above the table of current users.
   - To modify additional users, repeat Steps 1 and 2.
4. When you are done modifying users, click **Next**.



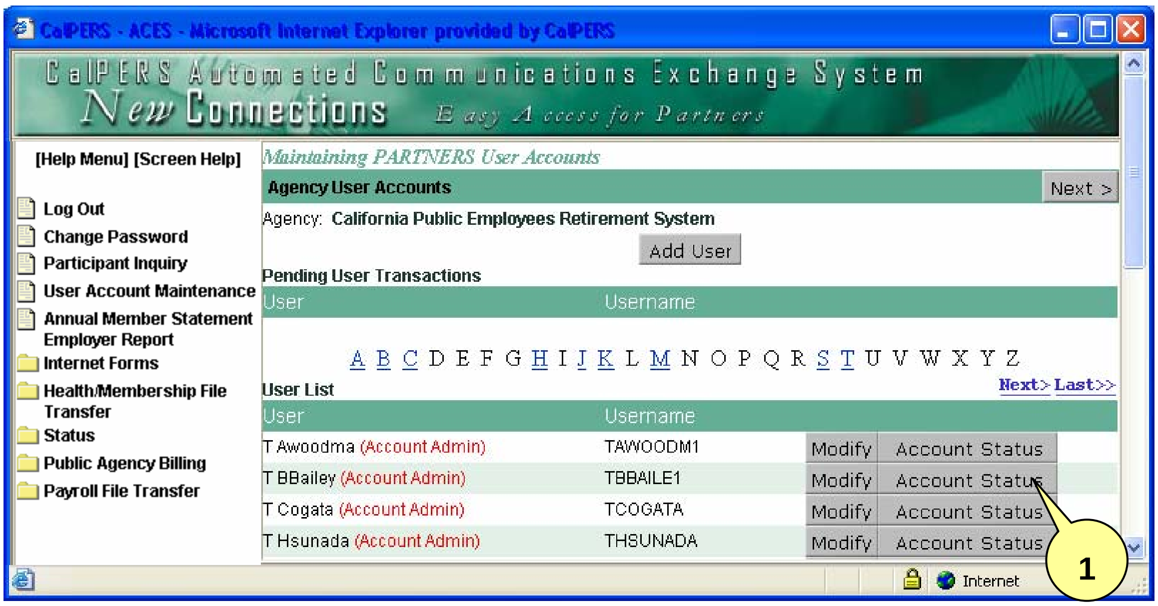
5. Verify your e-mail address.
6. Click on **Submit Request**.
7. Receive Tracking ID number.
   - On modifications, it is not necessary to retrieve a report from Status, Retrieve Files.

NOTE: Requests submitted before 6:00 p.m. are processed the same day. You will receive an e-mail when the modifications have been processed; however, the modified information or new access rights will not be reflected in ACES until the next business day.

Account Maintenance

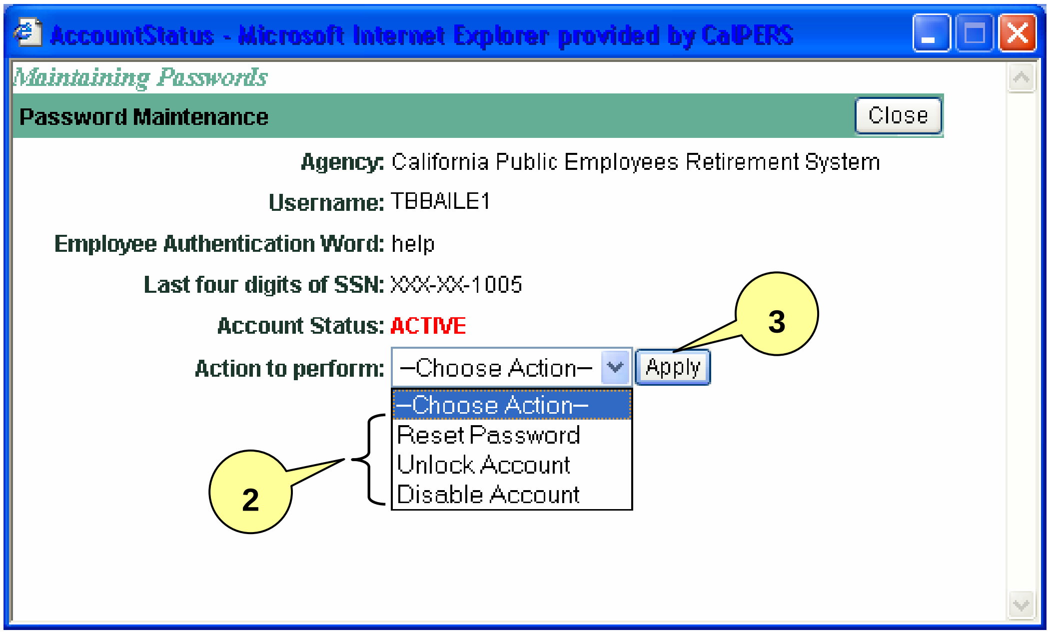
Use the **Account Status** button on the Agency User Accounts screen to:

- Reset a user's password. If a user misplaces or forgets their ACES password, you can reset their password.
- Unlock a user's account. This action can be performed when a user's account is locked after 4 incorrect log on attempts.
- Disable a user's account. When a user no longer requires ACES access, their ACES account must be disabled immediately. If security has been violated, CalPERS should be notified immediately at **888 CalPERS** (or **888**-225-7377).



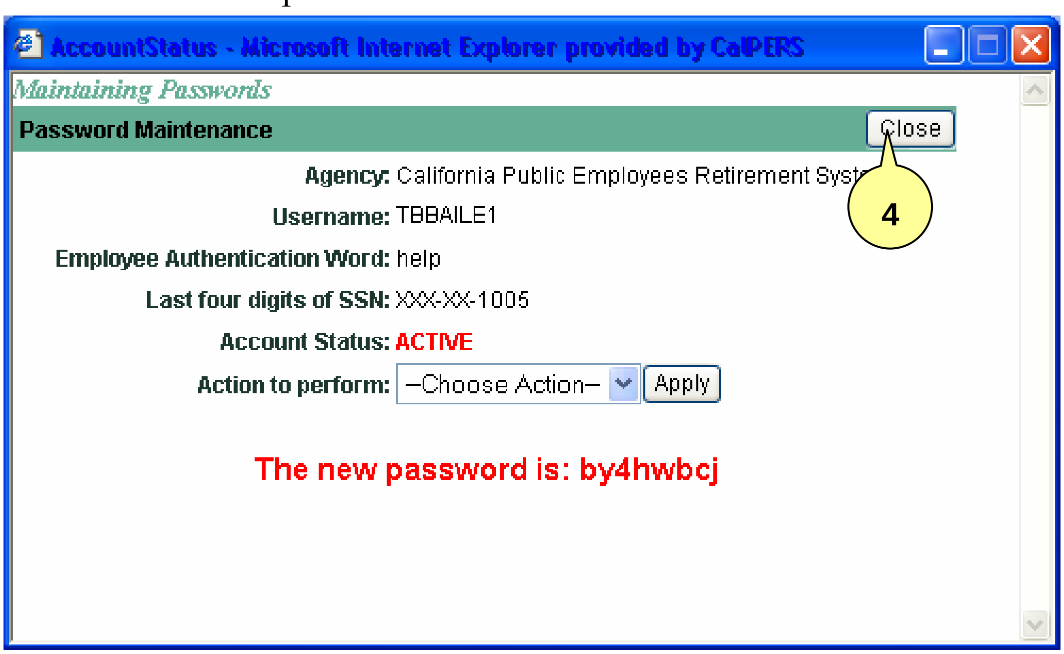
1. From the *Agency User Accounts* screen, click on the **Account Status** button. A new window will appear.

2. Choose the desired **Action to Perform** on the selected user account:



- **Reset Password**: Resets a user's password. The user will be prompted to change this temporary password when they log onto ACES after the password reset.
- **Unlock Account**: Restores account to "Active" password status
- **Disable Account**: Disables a user from logging in to ACES

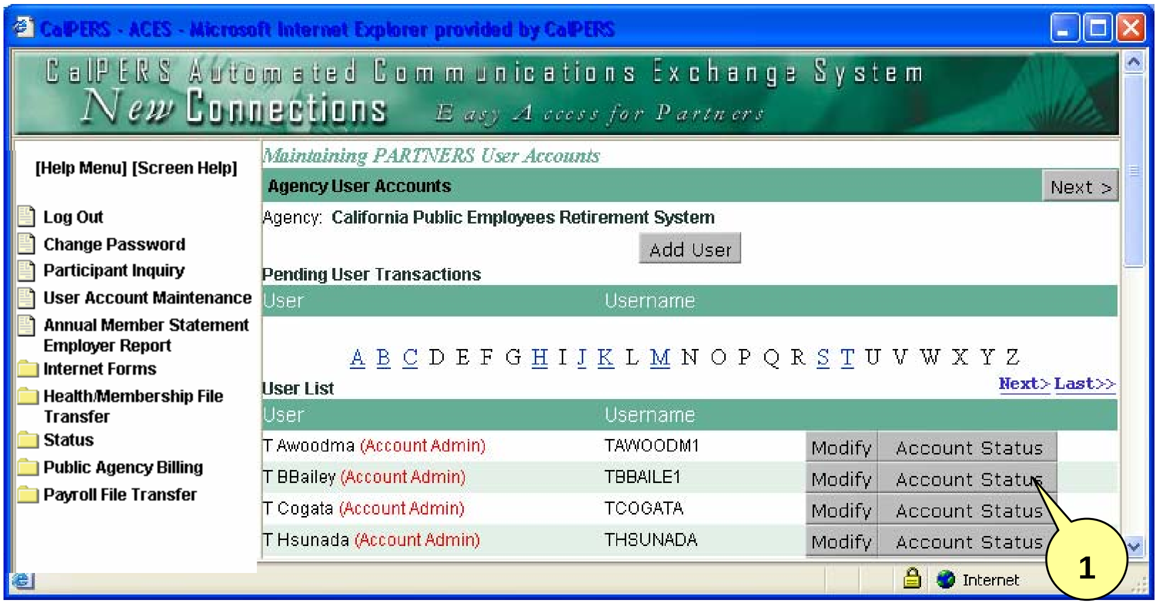
3. Click **Apply.**
   - If you have reset a password, the password will appear in red as follows: NOTE: The password is not case-sensitive.



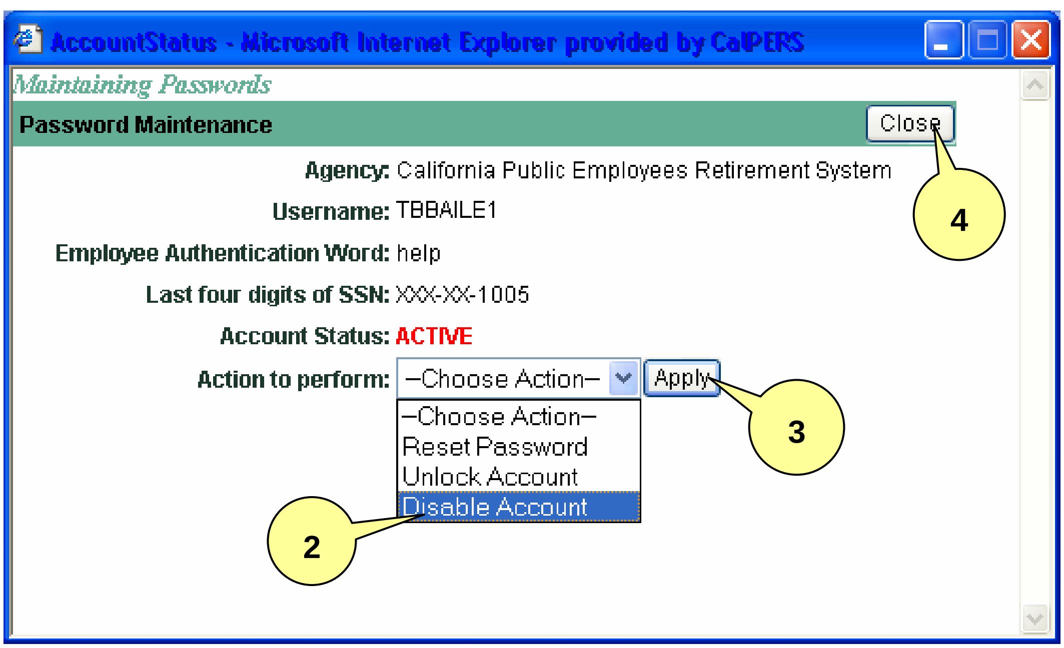
4. Click **Close**.

Disabling and Removing a User

1. A user no longer requiring ACES access **must** be disabled immediately to ensure information security. Click on **Account Status** from the Agency User Accounts page. A new window will open.



2. Click on **Disable Account** in the drop-down box.
3. Click **Apply**. A message will appear within moments confirming the account is disabled.



4. Click **Close**.
5. Fill out a ***Delete "ACES User Access"*** form (located at http://www.calpers.ca.gov/jasper/ei/aces-aesd-42/aesd-42-form.jsp) and electronically send it to CalPERS by using the "Submit" button. CalPERS will remove the user from the table of users.

Password Requirements

When resetting passwords, the system automatically generates a random password. This is a temporary password used to initially log the user into ACES. Upon successfully logging in, the user will be required to change this temporary password to one of their choosing.

The following are the ACES password requirements:

- Your password must be no fewer than 8 and no more than 12 characters long
- Your password must be a combination of alpha and numeric characters
- Your password cannot be the same as your user name
- Please note that if you enter your password incorrectly four times when attempting to log on, you will be locked out of ACES. Contact your agency's Account Administrator to unlock your account. For further assistance, call the Employer Contact Center at **888 CalPERS** (or **888**-225-7377).
- You will be prompted to change your password every 60 days

  NOTE: If you change your password every 60 days by changing only one digit (e.g., "password1" to "password2" to password3" etc.), the CalPERS system "recycles" passwords after ten (10) changes. This means after reaching "password10" that you may start back at "password1" if you wish.

CALIFORNIA PUBLIC EMPLOYEES' RETIREMENT SYSTEM
EMPLOYER USER SECURITY AGREEMENT

(TO BE COMPLETED BY EMPLOYER AND EMPLOYEE) (PLEASE COMPLETE ONLINE OR PRINT LEGIBLY)

EMPLOYEE		EMPLOYER
Employee Name:		**Employer Name:**
Employee Social Security Number:	**Date of Birth:**	**Employer Code (CalPERS):**
Employee Business Phone:	**Employee Business Fax:**	**Employer Mailing Address:**
Employee Business E-mail Address:		**Employer Physical Address: (if different than mailing)**

Please check all that apply: ☐***Account Administrator*** ☐***Internet Forms: Health*** ☐***Internet Forms: Membership***

☐***Public Agency Billing*** ☐***Annual Member Statement Employer Report*** ☐***Service Credit Purchase Status***

☐***Participant Inquiry*** ☐***Payroll File Transfer*** ☐***Annual Employer Statement***

By signing this document, the employee referenced above acknowledges reading, understanding, and agreeing to its contents and realizes the consequences of not complying with the terms stated below.

ACES User responsibilities:

- Passwords must be kept confidential. Reasonable precaution must be maintained including but not limited to:
  - Not sharing or allowing others access to your password for any reason
  - Securing the terminal with a password or locking device when logged onto ACES, when leaving the workstation
  - Immediately reporting any suspicious circumstances or unauthorized individuals observed in the work area to a supervisor
- Access and/or transmit information only relevant and necessary in the ordinary course of performing job official duties
- CalPERS record information shall only be disclosed to individuals when relevant and necessary when performing official duties. Unauthorized disclosures include, but are not limited to:
  - Disclosing social security number of another person when not part of job responsibilities.
- CalPERS record information shall not be transmitted or used for personal reasons, including but not limited to:
  - Making personal inquiries of friends or relatives; accessing information about another person, including locating their residence address, for any reason that is not related to job responsibilities

ACES Administrators' responsibilities:

- Maintain all **California Public Employees' Retirement System Employer User Security Agreement** forms (AESD-43) and ***Delete "ACES User Access"*** forms (AESD-42) in a secured location
- Ensure Security Agreements are fully completed and signed by a manager or supervisor prior to processing or faxing to CalPERS. Completed forms may be faxed to 916-795-1523.
- Immediately fill out, electronically submit, and maintain a copy of the ***Delete "ACES User Access"*** form (AESD-42) for all ACES users who no longer have ACES access for two years
- Direct staff that:
  - Passwords must be kept confidential at all times and not be shared for any reason
  - Computer terminals must be secured with a password or locking devise when unattended and logged into ACES
  - Suspicious circumstances and unauthorized individuals should be reported immediately to a manager or supervisor

I have read and understand the security policies stated above. I acknowledge and agree to utilize all CalPERS systems in accordance with the terms outlined in the California Public Employees' Retirement Law and CalPERS business practices, policies, and procedures. Failure to comply with these policies may result in revocation of my access to ACES, adverse action, and/or civil or criminal liability under applicable laws. I further understand that I can undergo disciplinary action from my employer up to and including termination of employment.

I certify under penalty of perjury, under the laws of the State of California, that the information provided above is true and correct.

The California Public Employees' Retirement System (CalPERS) collects personal information to administer the various programs, accessed through the Automated Communications Exchange System (ACES), for which it has responsibility. Employers may NOT share information with any other entity without the express written approval of CalPERS. The information contained in CalPERS records is confidential, and CalPERS is required by law to protect such information from unauthorized access, use, and disclosure.

Employee Signature:	**Date:**
Employer Signature: (Manager/Supervisor)	**Date:**

This form must be completed for each employee using CalPERS online access and be available to CalPERS upon request. Forms must be RETAINED IN A SECURE WORK SITE LOCATION of the Employer, for the life of the Agreement and for two (2) years following the deactivation or termination of the Agreement. CalPERS is to be notified immediately in the event that any of its sensitive or confidential information is subjected to unauthorized disclosure, modification or destruction. Completed forms may be faxed to 916-795-1523.

PERS-AESD-43 (03/07)

Clear Submit

Symbol Key
* Required Field
Missed Field

CALIFORNIA PUBLIC EMPLOYEES' RETIREMENT SYSTEM
DELETE ACES USER ACCESS FORM

PLEASE COMPLETE ONLINE OR PRINT LEGIBLY

Section 1. To be completed by employer

* Employee Name:	* Employer Name: * CalPERS Employer Code:
Employee's ACES User Name (e.g. 0001coga):	* Date user should be deleted:

Section 2. To be completed by employer

Employer Account Administrator, Manager or Supervisor * Name: * Phone: ( ) - X	* Date: 7/27/2007

Section 3. To be completed by CalPERS

Date Received: 7/27/2007	Processed by:	Date Processed:

Comments:

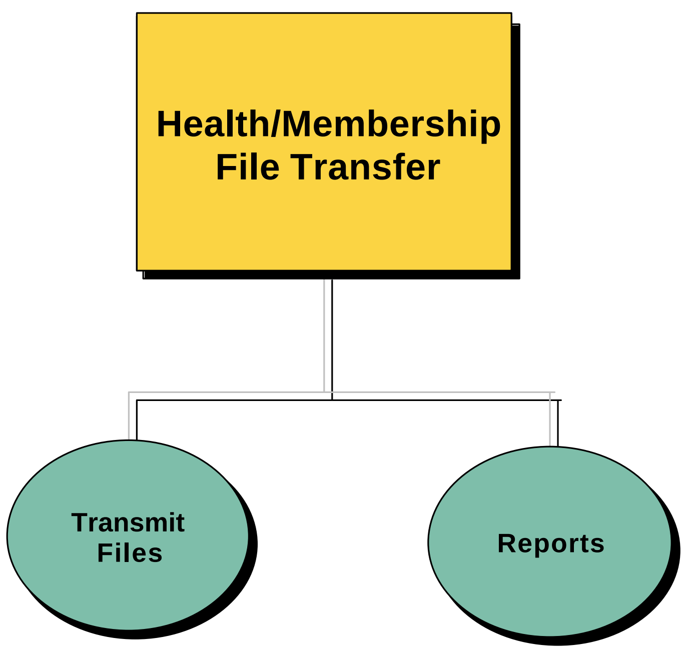
This form must be completed for each ACES User who no longer needs access to ACES or who has terminated employment from your agency. This form must be RETAINED BY THE EMPLOYER IN A SECURE WORK SITE LOCATION for two years following the request to delete ACES User access and be available to CalPERS upon request. CalPERS is to be notified immediately in the event any of its sensitive or confidential information is subjected to unauthorized disclosure, modification or destruction. In lieu of submitting this form electronically, completed forms may also be faxed to (916) 795-1523.

If you have any questions or need to change any information, contact us by e-mail (aces@calpers.ca.gov) or by calling the Employer Contact Center at
888 CalPERS (or **888**-225-7377).

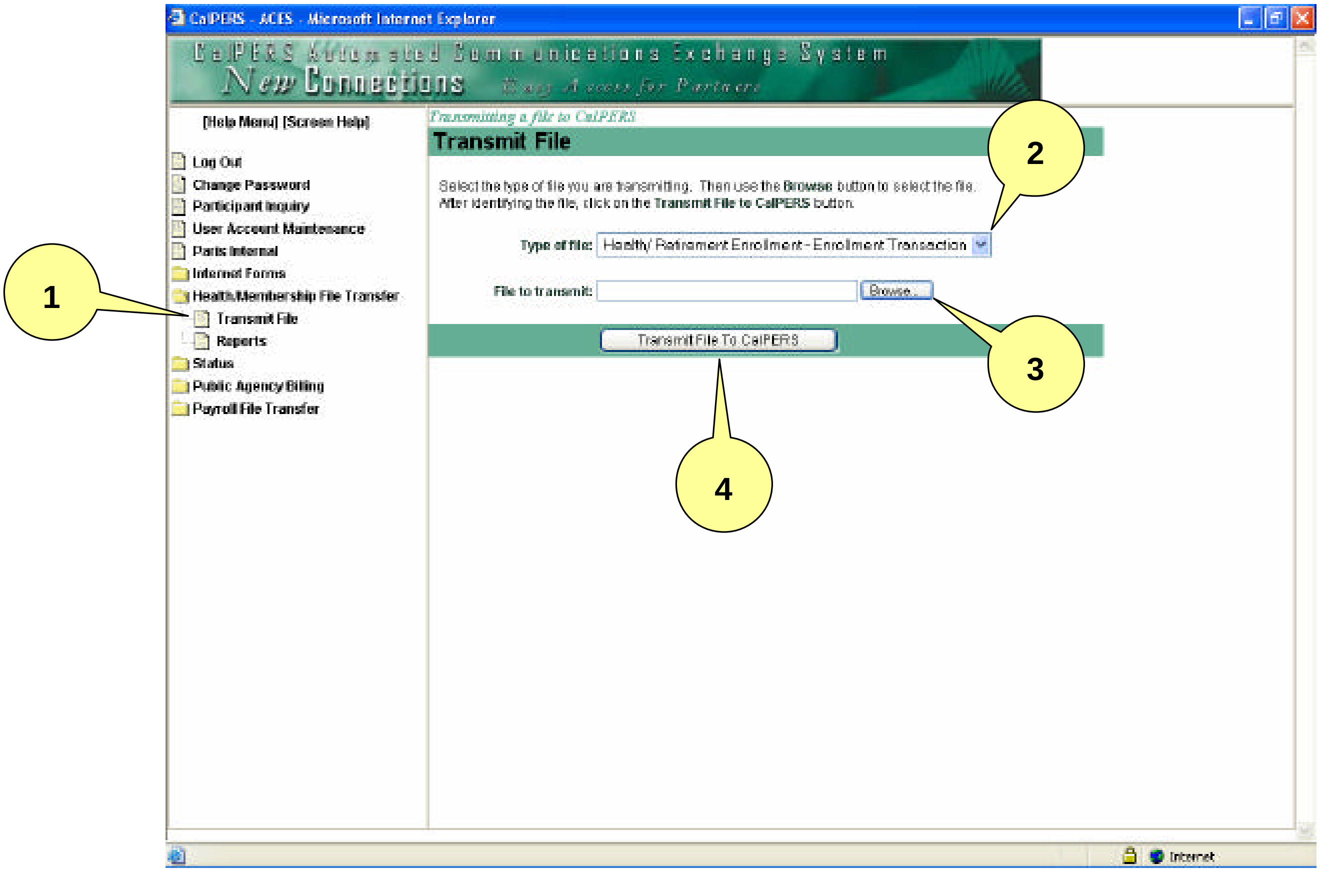
PERS-AESD-42 (08/06)

HEALTH/MEMBERSHIP FILE TRANSFER

- ***Health/Membership File Transfer*** allows employers who enter health or membership information into an internal system to send large data files to CalPERS over the Internet for batch processing. If you currently send health or membership data via hard copy, tape, and / or diskettes, you can send the same files electronically using ACES. When the file is transmitted, ACES performs validations for size and formatting. When the file has been validated, the file transmitted will be stored for processing and a status message will appear on the ***Get Status*** page. If the file fails validation, ACES will not store it. However, the system will create a *Load Error* event describing the failure.
- ***Health/Membership File Transfer*** also allows you to request a status report from CalPERS and receive it in your file retrieval area after the batch process has been completed.



Transmit File

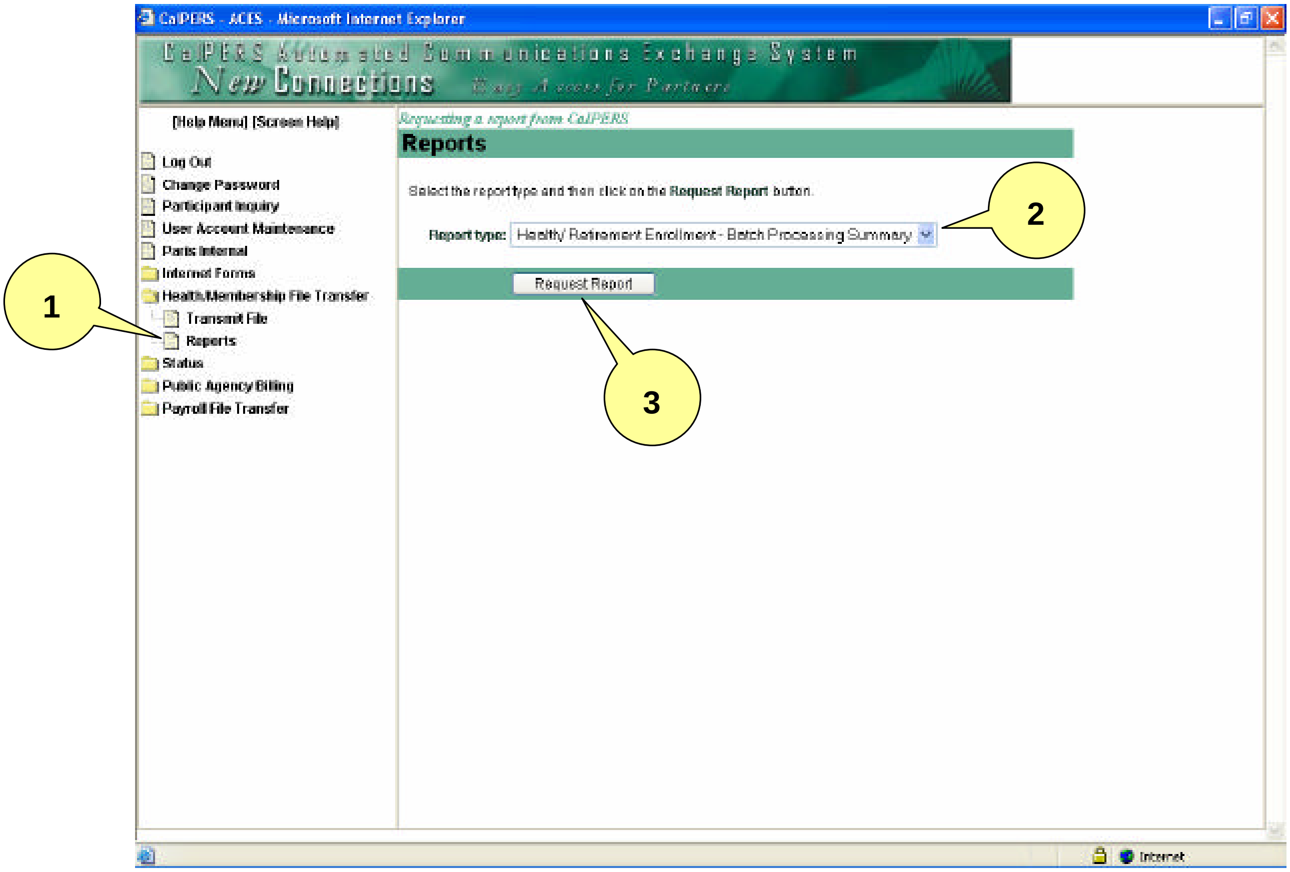


1. **From** the Health / Membership File Transfer folder on the Navigation Tree, select Transmit File.
2. The Type of File box will automatically populate “Health / Membership Enrollment – Enrollment Transactions” as the file type.
3. **Click Browse** to locate the file on your local directory. From the File Upload dialog box, find the file and **click Open**. The file name appears in the File to Transmit field.
4. **Click Transmit File to CalPERS**. The system displays a status page and a tracking ID. A progress bar will indicate the status of the transmission.

Note: If the file failed ACES validation (for reasons such as file size and format), a Load Error will appear on the ***Get Status*** page.

Reports

The ***Health/Membership File Transfer*** function also allows you to request a status report for a file that you have transmitted to ACES.



1. From the ***Health/Membership File Transfer*** folder on the Navigation Tree, select ***Reports***.
2. **Select Report Type** from the drop-down menu.
   - Health / Retirement Enrollment – Batch Processing Summary
   - Health / Retirement Enrollment – Periodic Extract
3. **Click Request Report**. The system displays a status page and a tracking ID for the request on the ***Get Status*** screen.

Receiving Your Report

After your request is processed:

- The Summary Report is emailed to the agency
- A notification that the file was sent is logged in the ***Get Status*** file
- The reports are also accessible in ***Retrieve Files***
- The user must review the Detail Report in ***Retrieve Files*** for informational messages and details of transactions

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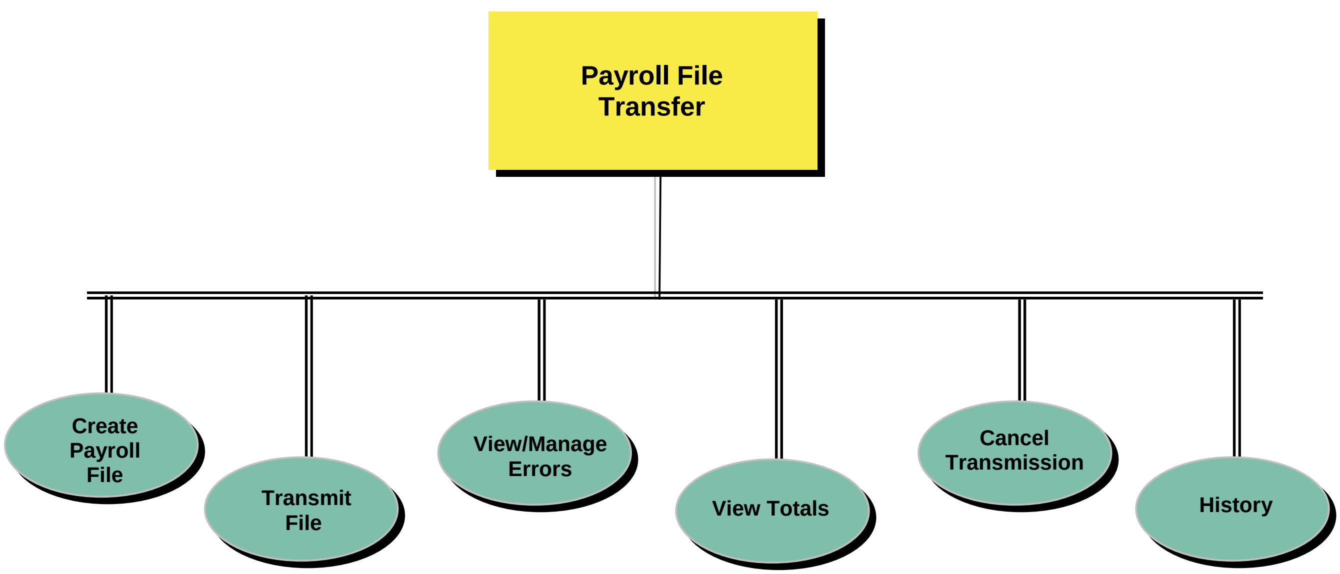
PAYROLL FILE TRANSFER

Payroll File Transfer provides an online method to create and submit wage and contribution data, identify and correct invalid records and view payroll file totals. This process ensures CalPERS receives accurate payroll file information and eliminates the need to mail payroll tapes or diskettes.

- Employers can create and retain multiple payroll files
- The Summary Report, Member and Employer Contributions form (PERS-AESD-626) must be submitted to CalPERS
- The payroll file hard copy is not submitted; however, it must be available if requested by CalPERS
- All payroll file errors must be corrected before CalPERS accepts the file
- Payroll files must be successfully verified or cancelled prior to submitting another payroll file
- Balance due information indicated for a successfully verified payroll file should match employer records



File Format and Naming Standards

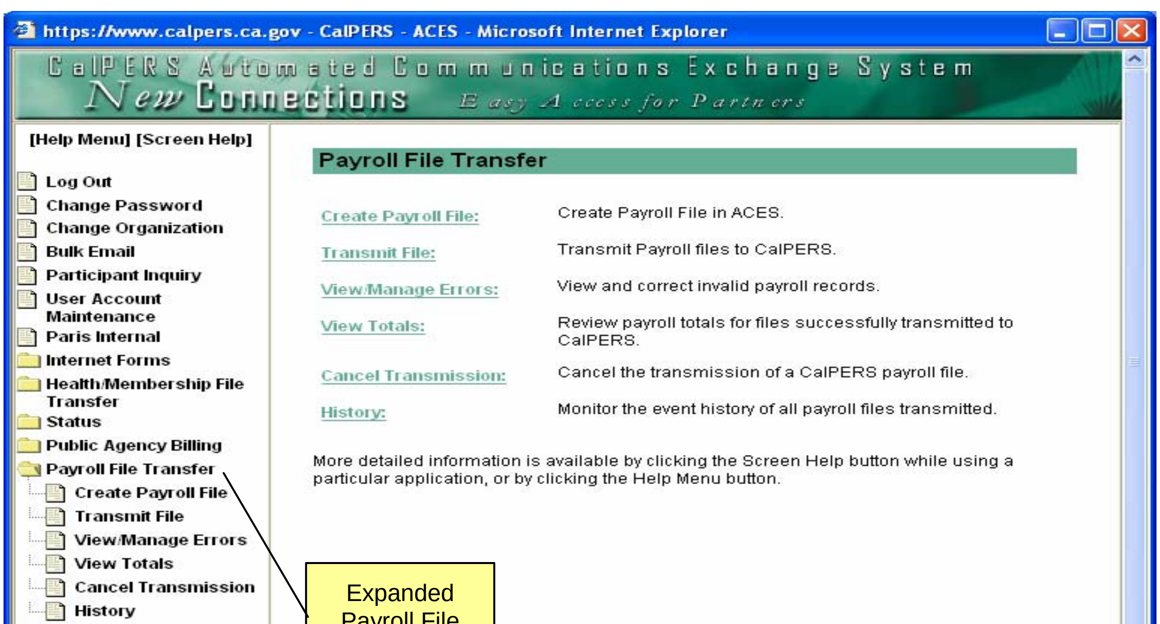
- Files must be in an acceptable text format (i.e., file extension .txt)
- The CalPERS Payroll Reporting System names the file "persfile.txt." The file name can be changed for internal retention by the employer.

Payroll File Transfer Function

Payroll File Transfer has six functions:

Function:	Purpose:
Create Payroll File	Allows users to create and transmit payroll files. Payroll files are retained for 12 months.
Transmit File	Transmits payroll files to CalPERS.
View/Manage Errors	Holds invalid payroll records until corrected and retransmitted or the file is cancelled. Records can be added or deleted. Files that are pending can be retransmitted.
View Totals	*Member and Employer Contribution Totals* and a system-generated *Summary Report, Member and Employer Contributions (AESD-626)* are provided based on the amounts transmitted, and the AESD-626 may be viewed, printed, or electronically transmitted from here. These reports are retained for 12 months.
Cancel Transmission	Cancels successfully transmitted payroll file prior to 3:00 p.m. the same day. Cancels the transmission of a file created in ACES without deleting the actual file.
History	Maintains file status detail and associated reports for a period of twelve (12) months

The screen below shows the Navigation Menu with the ***Payroll File Transfer*** folder expanded. It shows the six functions of ***Payroll File Transfer***: ***Create Payroll File, Transmit File, View/Manage Errors, View Totals, Cancel Transmission,*** and ***History*** icons.



CREATE NEW PAYROLL FILE

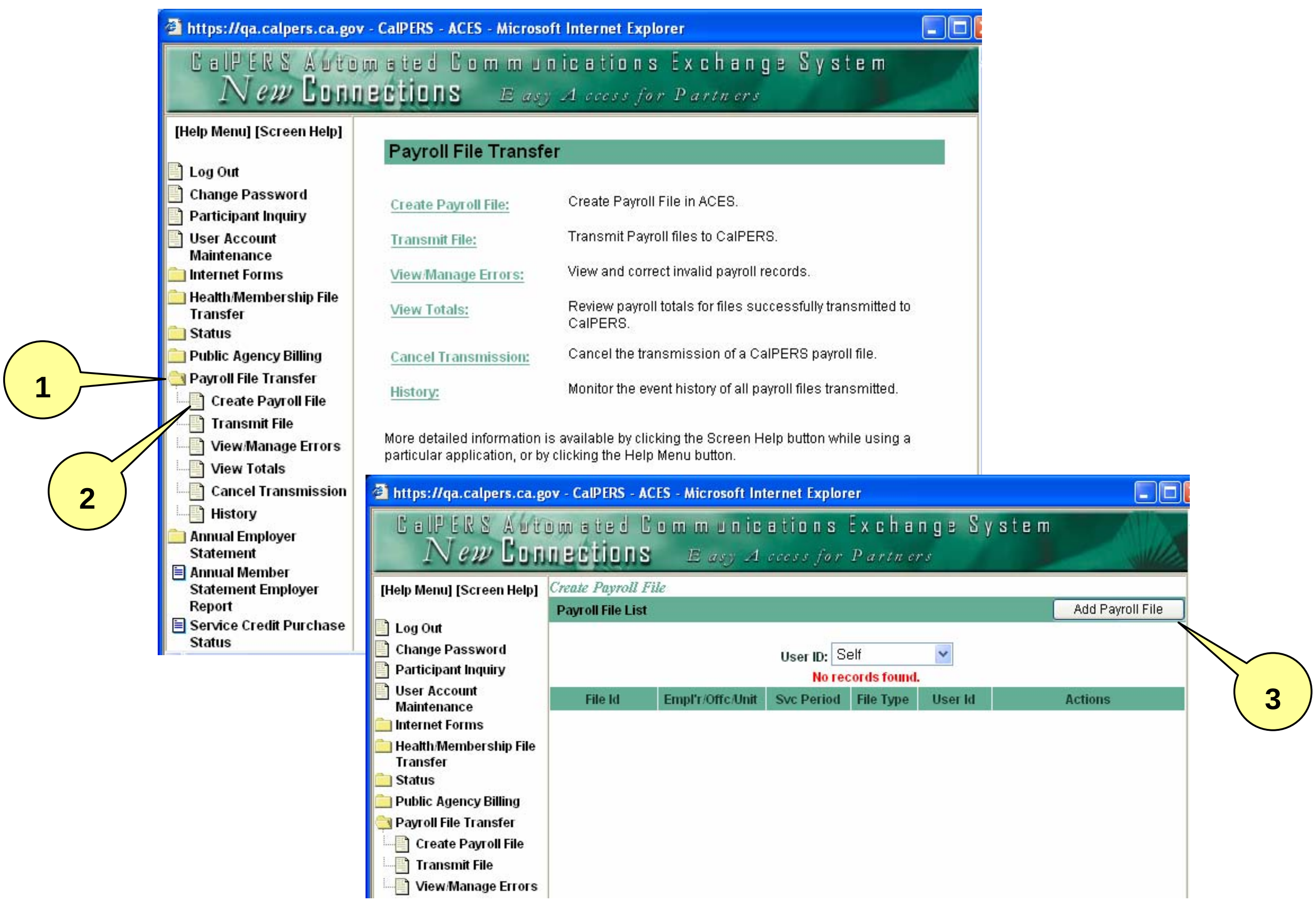
OVERVIEW:

The ACES Create Payroll File feature is used to create and store payroll files in the ACES environment. ACES users will have the ability to create a brand new payroll file with no payroll data and key all member payroll information. After the payroll data is keyed, the Payroll List will be available. This feature is also used to transmit the payroll file.

1. Select the **Payroll File Transfer** folder in the Navigation Menu.

2. Select the **Create Payroll File** icon in the Navigation Menu.

3. Select the **Add Payroll File** button in the top right hand corner of the Payroll File List page.



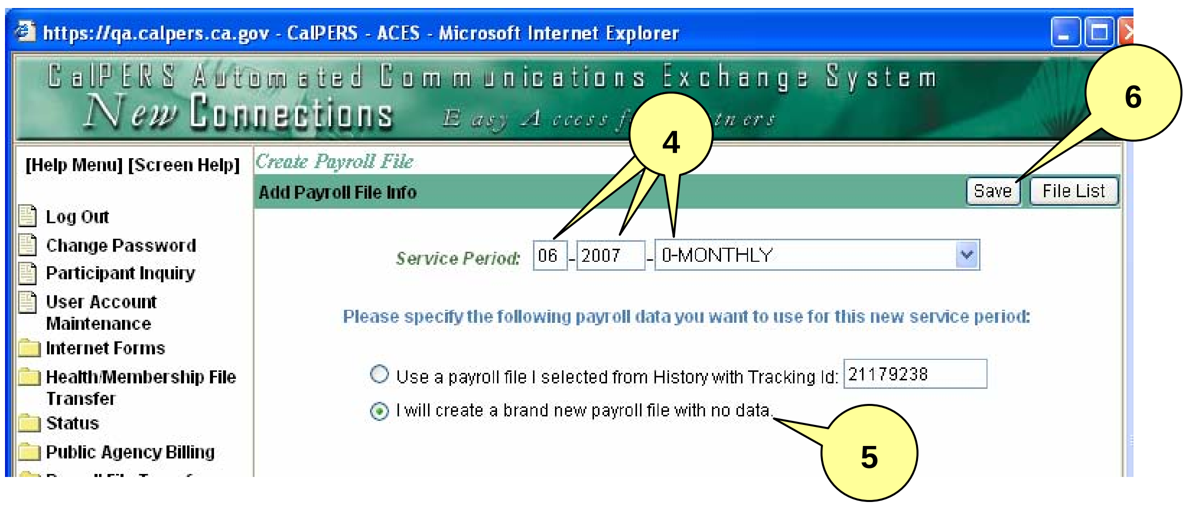
4. Enter the valid service period:

    - **Month (2 digits)**
    - **Year (4 digits)**
    - **Type (select from drop-down list)**

5. User will select, "I will create a brand new payroll file with no data."

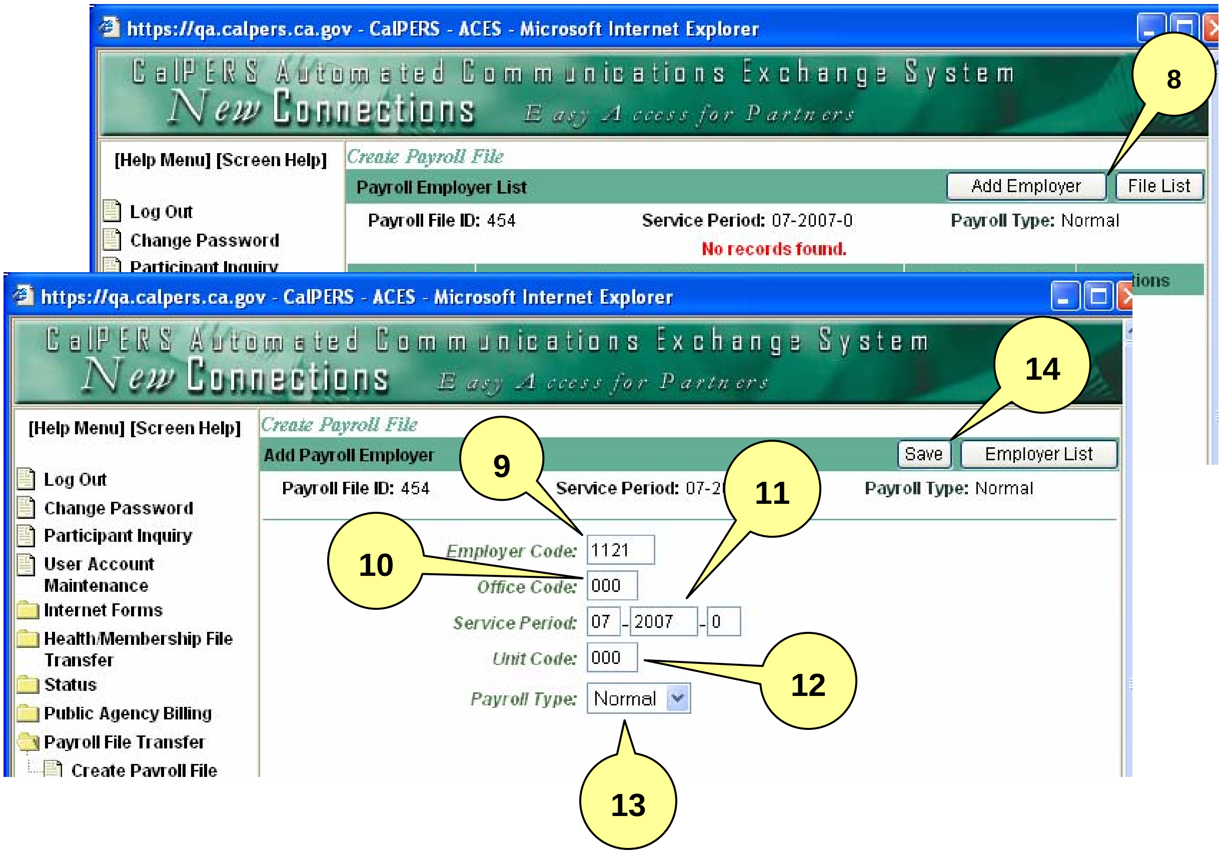
    NOTE: This file will contain no employer or detail information

6. Select **Save**.



7. From the **Payroll File List** page, select **Employer List** next to the new payroll file that has been created. See **Payroll File List** in this section for more information.

8. Select **Add Employer** from the Payroll Employer List page.



9. Enter a valid 4-digit Employer Code.

10. Enter Office Code, if applicable. If office code is not used, leave the default office code 000.

11. Service Period is shown based on what was entered when **Add Payroll File** was selected on the **Payroll File List** page. The service period can be changed on this page, if necessary.

12. Enter Unit Code, if applicable. If unit code is not used, leave the default unit code 000. If more than one unit code is used, the user will be able to enter the unit code on the payroll record for the individual member.

13. The Payroll Type defaults to **Normal**. Select from the drop-down list: **Special** if submitting a special payroll. Please note: “Special” payrolls cannot be converted later.

14. Select **Save**

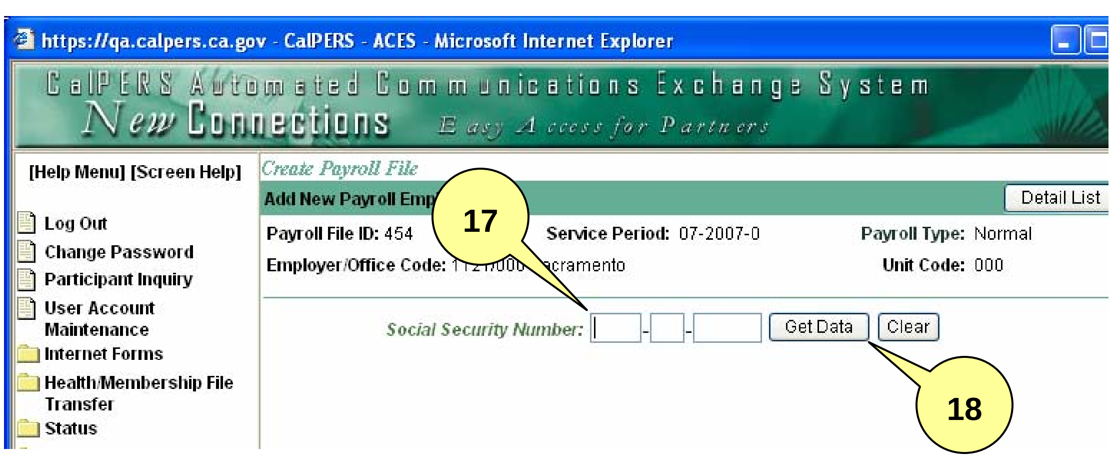
NOTE: See **Payroll Employer List** in this section for more information.

15. Select **Detail List** under the Actions column. This gives the user the ability to add, modify, and/or delete the appropriate member information. This includes adding more than one payroll record for a member.

16. Select **Add Employee** from the **Payroll Detail List** page. This gives the user the ability to add the appropriate new member payroll information. See **Payroll Detail List** in this section for more information.

17. Enter the Social Security Number of the member.

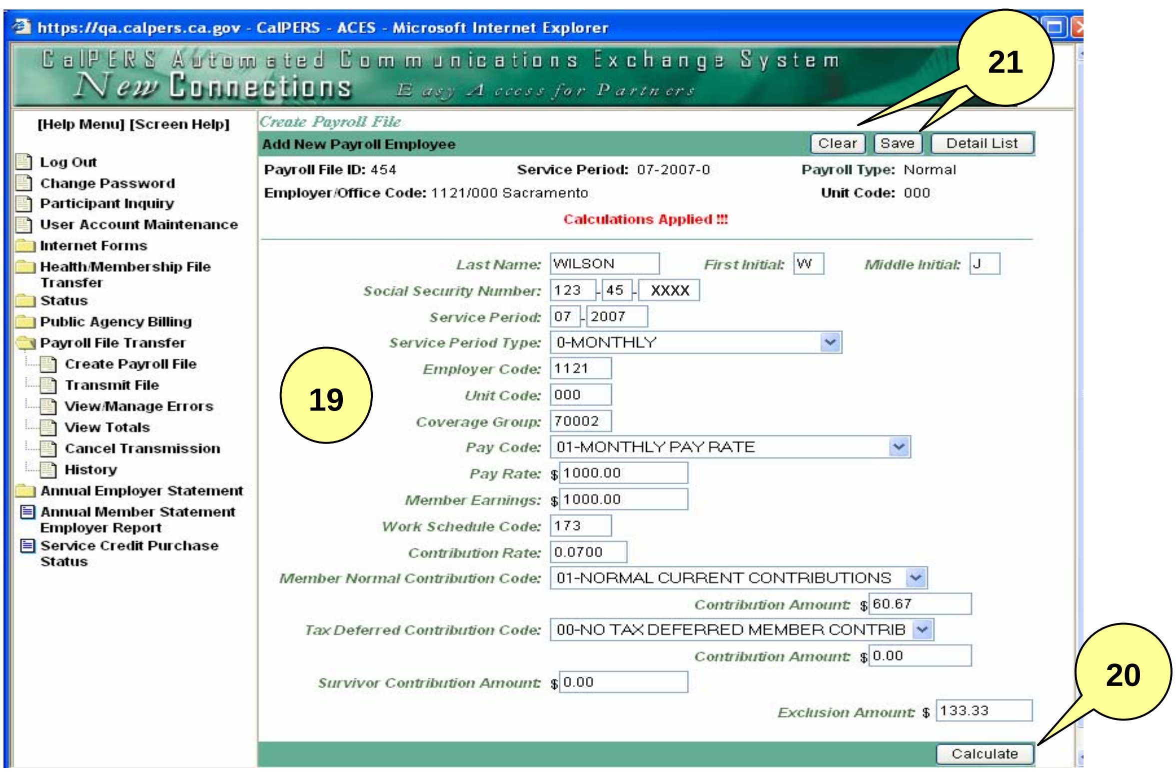
18. Select **Get Data**.



The system verifies that the member has an active appointment with the agency. When validation is successful, the user will be directed to the **Add New Payroll Employee** page. If validation of CalPERS membership fails, CalPERS membership must be submitted before proceeding.

19. The user will need to complete all the payroll detail fields that have not been pre-populated. The member name, SSN, unit code, and coverage group automatically default to what the CalPERS database reflects. The service period shows the current service period. With the exception of the SSN and Coverage Group, all the mentioned fields can be modified if needed.

20. Once all payroll data is entered, select **Calculate** to calculate contributions.



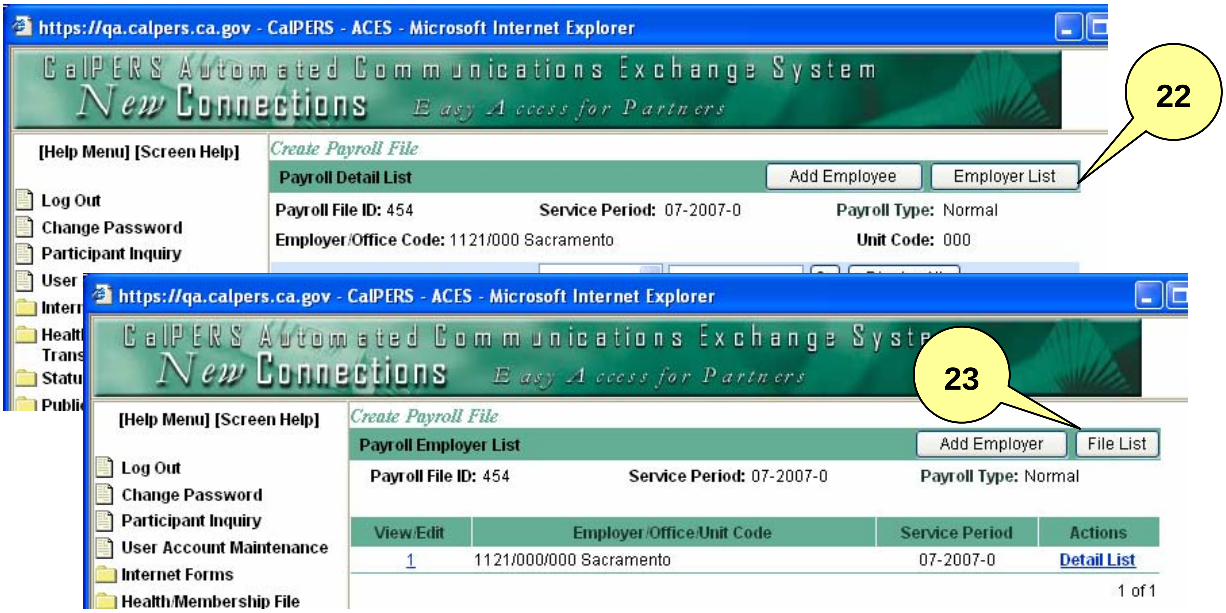
21. Once information is populated, select **Save.** User has the option to select **Clear** to clear the fields and start over entering the data.

If the user needs to add a payroll detail record for an established member on the payroll file, see **Add Payroll Detail Record** in this section. Please note: If the user selects **Add New Payroll Employee** and the SSN is already on the payroll file, the user will receive an error message stating the SSN has already been established. The user would need to utilize **Add Record** link for the associated member.

If the user needs to modify or delete a member payroll detail record, see **Edit Payroll Detail Record** in this section.

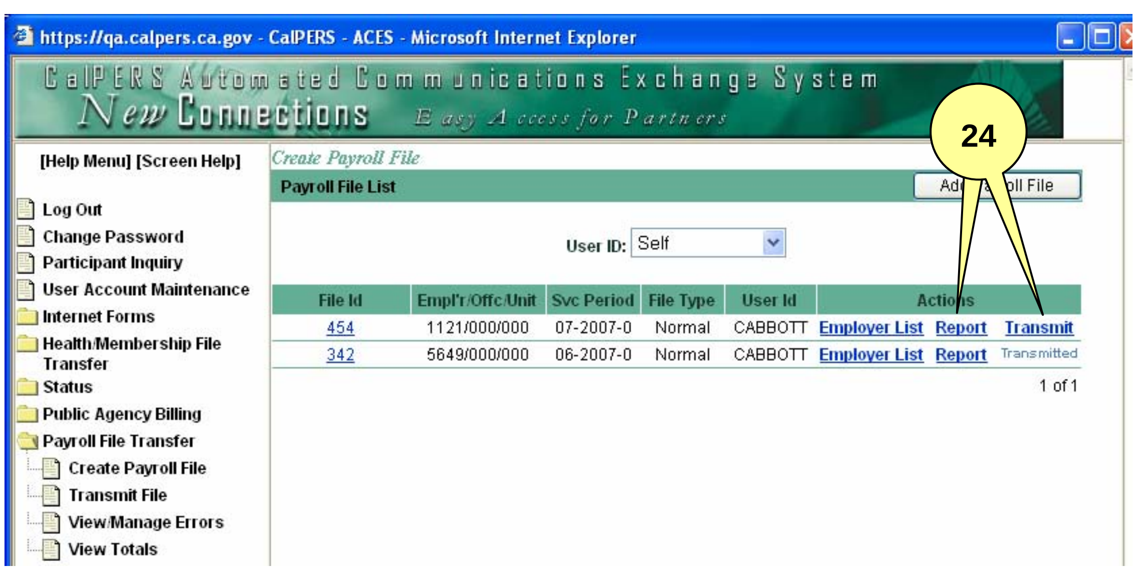
22. When the payroll file is ready to be transmitted, select **Employer List** in the top right-hand corner from the **Payroll Detail List** page.

23. Select **File List** in the top-right hand corner from the **Payroll Employer List** page.



24. From the **Payroll File List** page, the user has the ability to select **Report** to view and print the Payroll Listing. The user can also select **Transmit** to transmit the ACES-created payroll file.

NOTE: A successfully verified payroll file transmission can be cancelled prior to 3:00 pm the same business day submitted. The user will then have the ability to make modifications to the created payroll file.



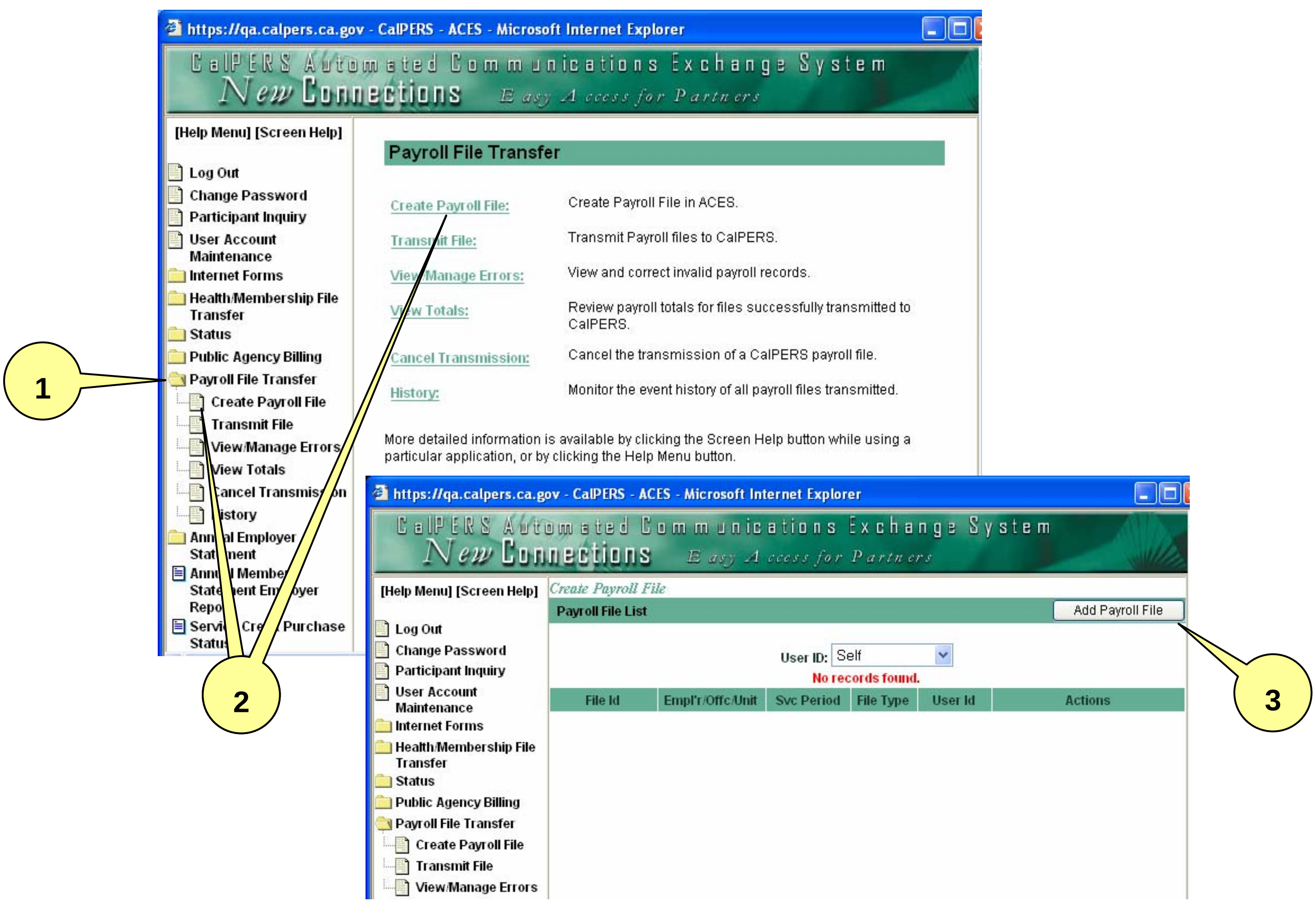
CREATE NEW PAYROLL FILE WITH TRACKING ID FROM HISTORY

OVERVIEW:

The ACES Create Payroll File page is used to create and store payroll database files in the ACES environment. ACES users will have the ability to generate a new payroll file using a Tracking ID from a historical, successful, normal ACES payroll file. Special payroll files can't be converted.

NOTE: A file that has been picked up by CalPERS at 3:00 p.m. is ready to be used to convert into a new file.

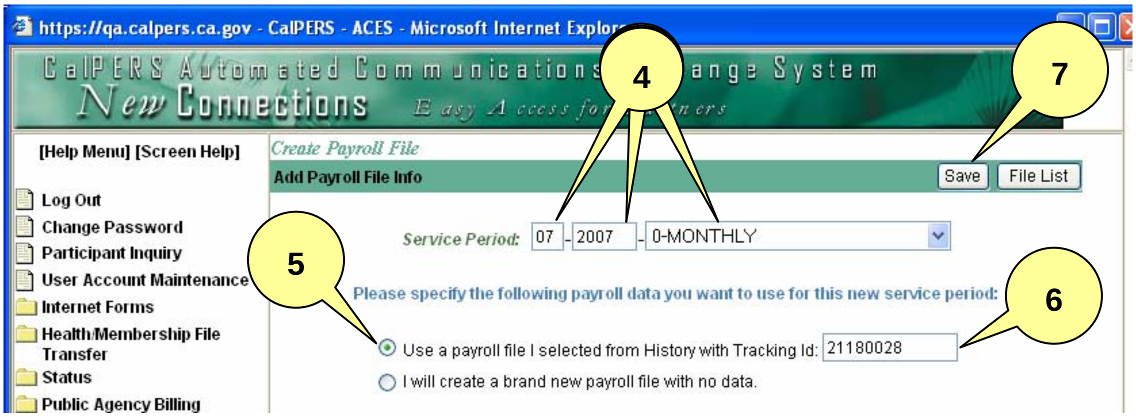
1. Select the **Payroll File Transfer** folder in the Navigation Menu.
2. Select the **Create Payroll File** icon in the Navigation Menu, or the link on the right.
3. Select the **Add Payroll File** button in the top right hand corner of the **Payroll File List** page.



4. Enter the valid service period:

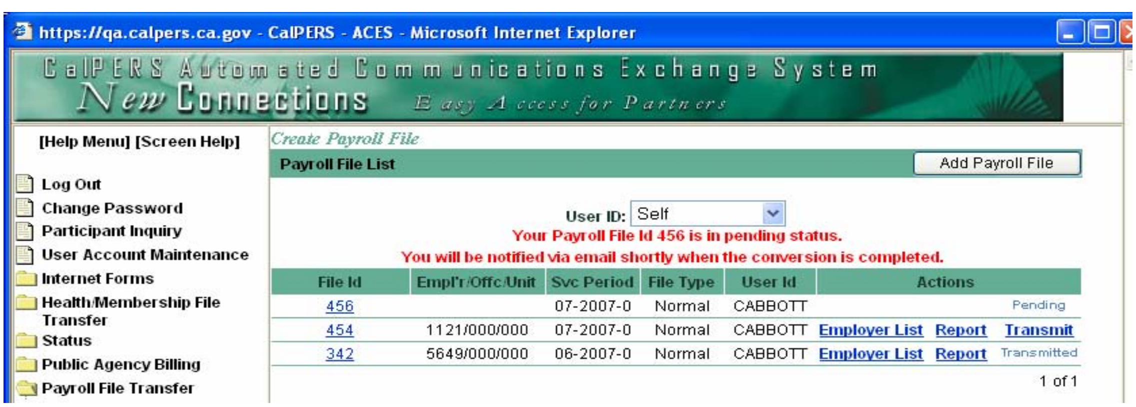
    - **Month (2 digits)**
    - **Year (4 digits)**
    - **Type (select from drop-down list)**

5. The radio button will be default-selected to "Use a payroll file I selected from History with Tracking ID: XXXXXXXX."



6. The Tracking ID is populated from the agency's last successful normal payroll file submission or the user can enter a valid Tracking ID from ACES Payroll File Transfer History.

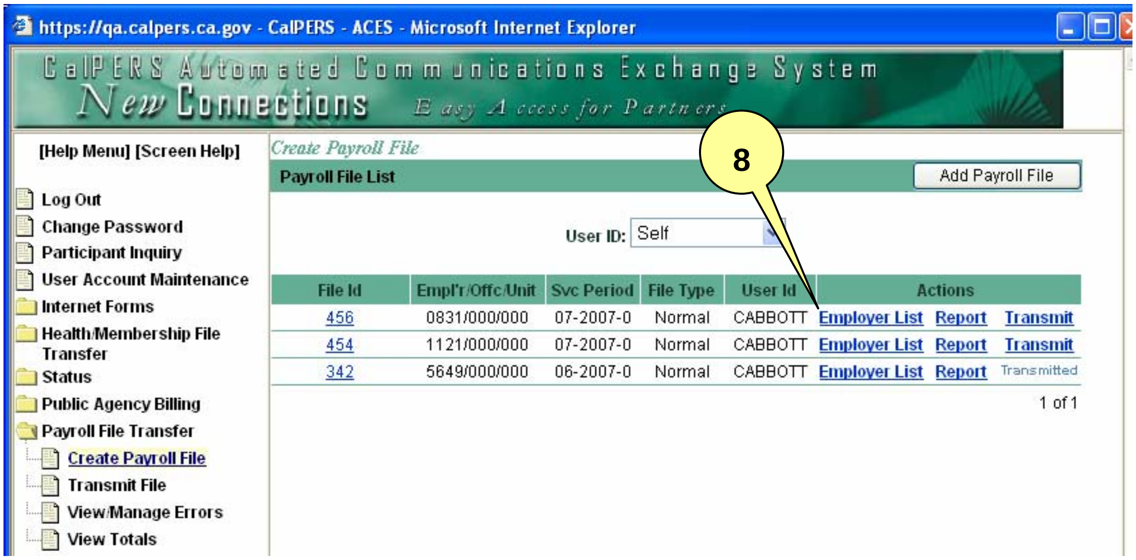
7. Select **Save**. The user's payroll file will now be in pending status and within 5 to 30 minutes following the request to use the previous Payroll File information, the user should receive an email confirming the completion of the data transfer.



Once the user has received the email confirming that the payroll file conversion has been processed, the user can:

- Access ACES and select **Create Payroll File**.
- Verify that the data that is displayed in the **Payroll File List** page is accurate for the **Payroll File** record the user requested.

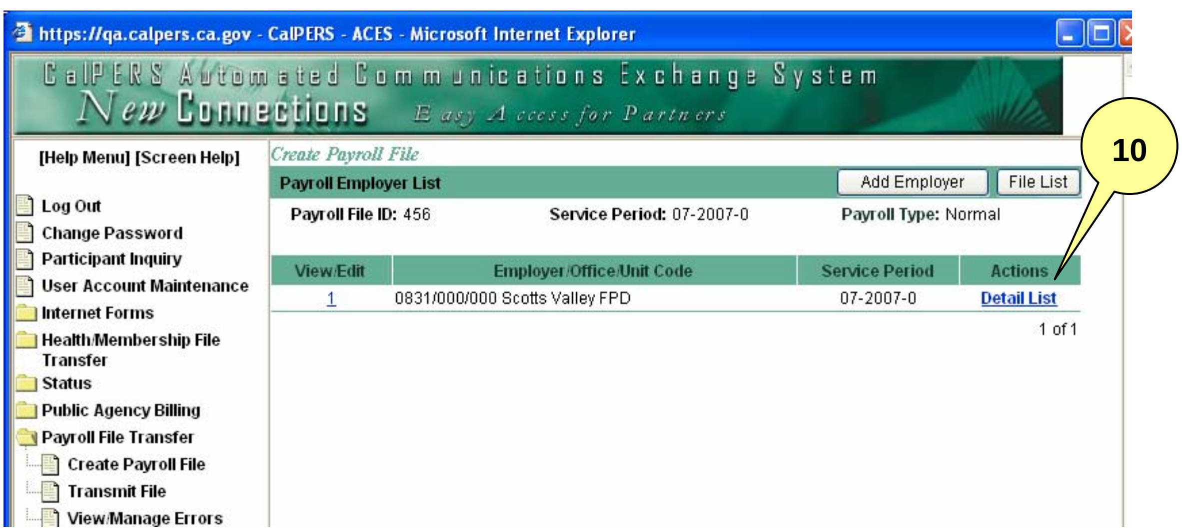
8. From the **Payroll File List** page, select **Employer List** next to the new payroll file that has been created. See **Payroll File List** in this section for more information.



9. Verify that the employer information transferred accurately. See **Payroll Employer List** in this section for more information.

10. Select **Detail List** under the Actions column. This gives the user the ability to add, modify, and/or delete the appropriate member payroll information. This includes adding more than one payroll record for a member.

NOTE: Prior payroll records for any adjustments will not be converted.



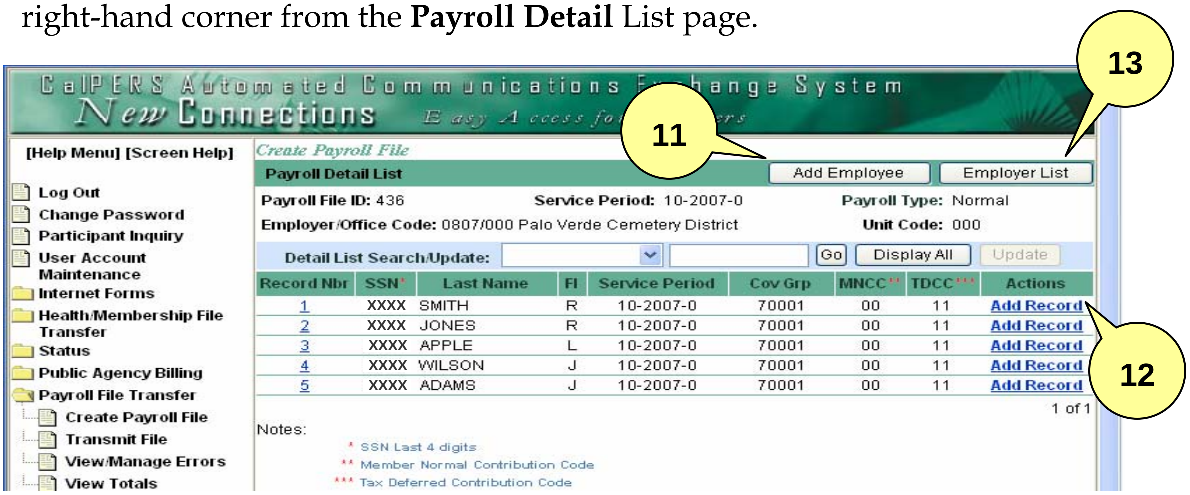
11. Select **Add Employee** from the **Payroll Detail List** page. This gives the user the ability to add the appropriate new member payroll information. See **Payroll Detail List** in this section for more information.

12. If the user needs to add a payroll detail record for an established member on the payroll file, see **Add Payroll Detail Record** in this section for further details.

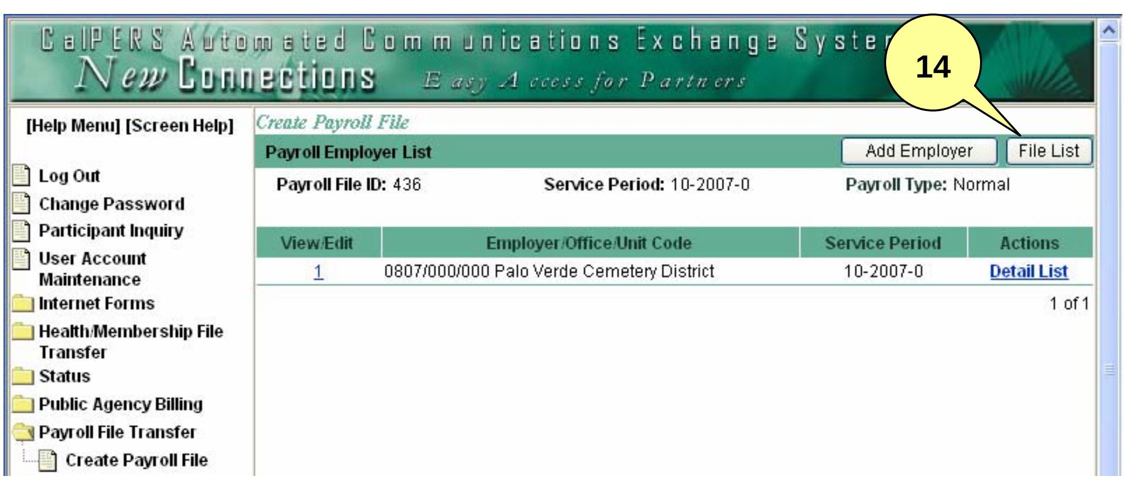
    Note: If the user selects **Add New Payroll Employee** and the SSN is already on the payroll file, the user will receive an error message stating the SSN has already been established. The user would need to utilize **Add Record** link for the associated member.

    If the user needs to modify or delete a member payroll detail record, see **Edit Payroll Detail Record** in this section for further details.

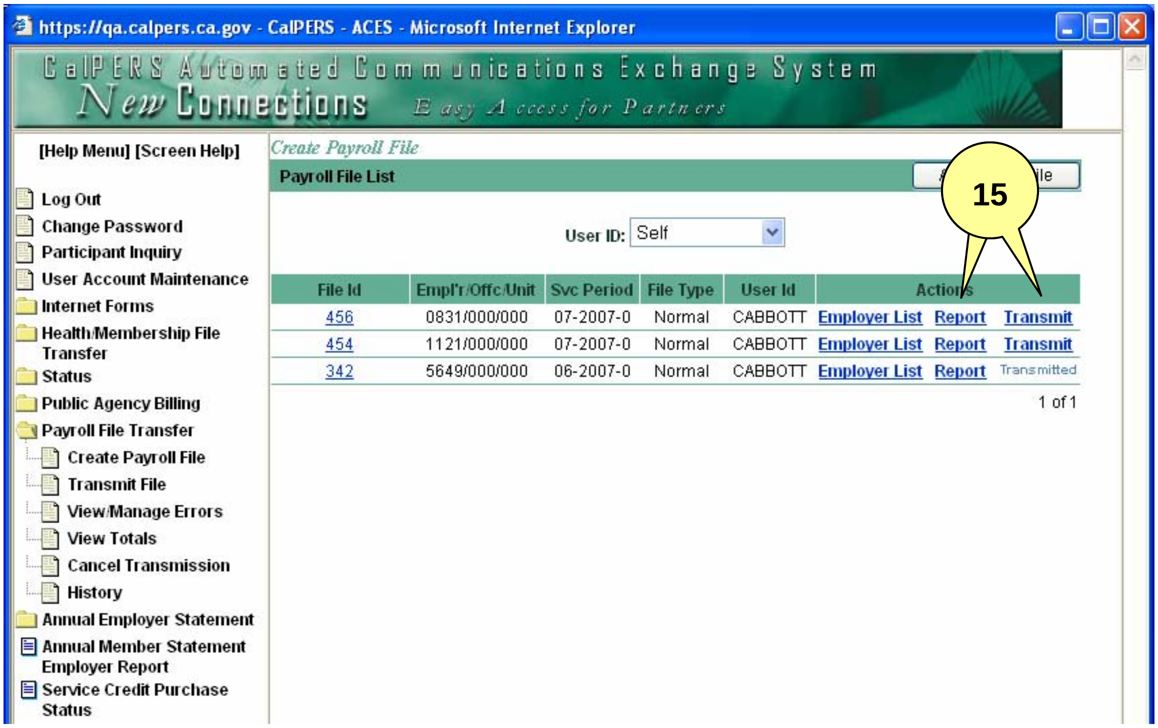
13. When the payroll file is ready to be transmitted, select **Employer List** in the top right-hand corner from the **Payroll Detail** List page.



14. Select **File List** in the top-right hand corner from the **Payroll Employer List** page.



15. From the **Payroll File List** page, the user has the ability to select **Report** to view and print the Payroll Listing. The user can also select **Transmit** to transmit the created payroll file via ACES.



NOTE: A successfully verified payroll file transmission can be cancelled prior to 3:00 pm the same business day submitted. The user will then have the ability to make modifications to the created payroll file.

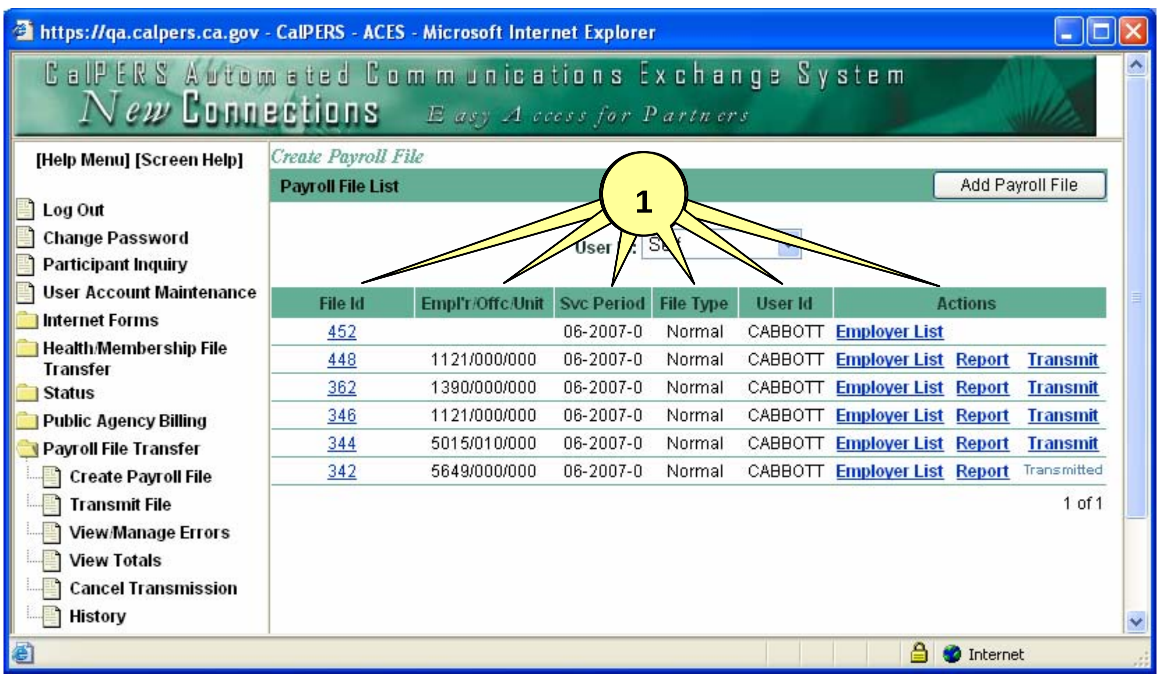
PAYROLL FILE LIST

OVERVIEW:

The ACES **Payroll File List** page is where users enter payroll information to create a payroll file. Users will also be able to select various highlighted links/functions, such as **File Id**, **Employer List**, **Report** and **Transmit**. **File Id** provides service period, payroll file information, status and the ability to delete a payroll file. **Employer List** provides Employer and Employee payroll data. **Report** is the Payroll Listing, and **Transmit** will be utilized to transmit the payroll file.

1. Columns shown on page:

   - **File Id**
   - **Employer Code/Office Code/Unit Code**
   - **Service period**
   - **File Type**
   - **User Id**
   - **Actions**



PAYROLL FILE INFO

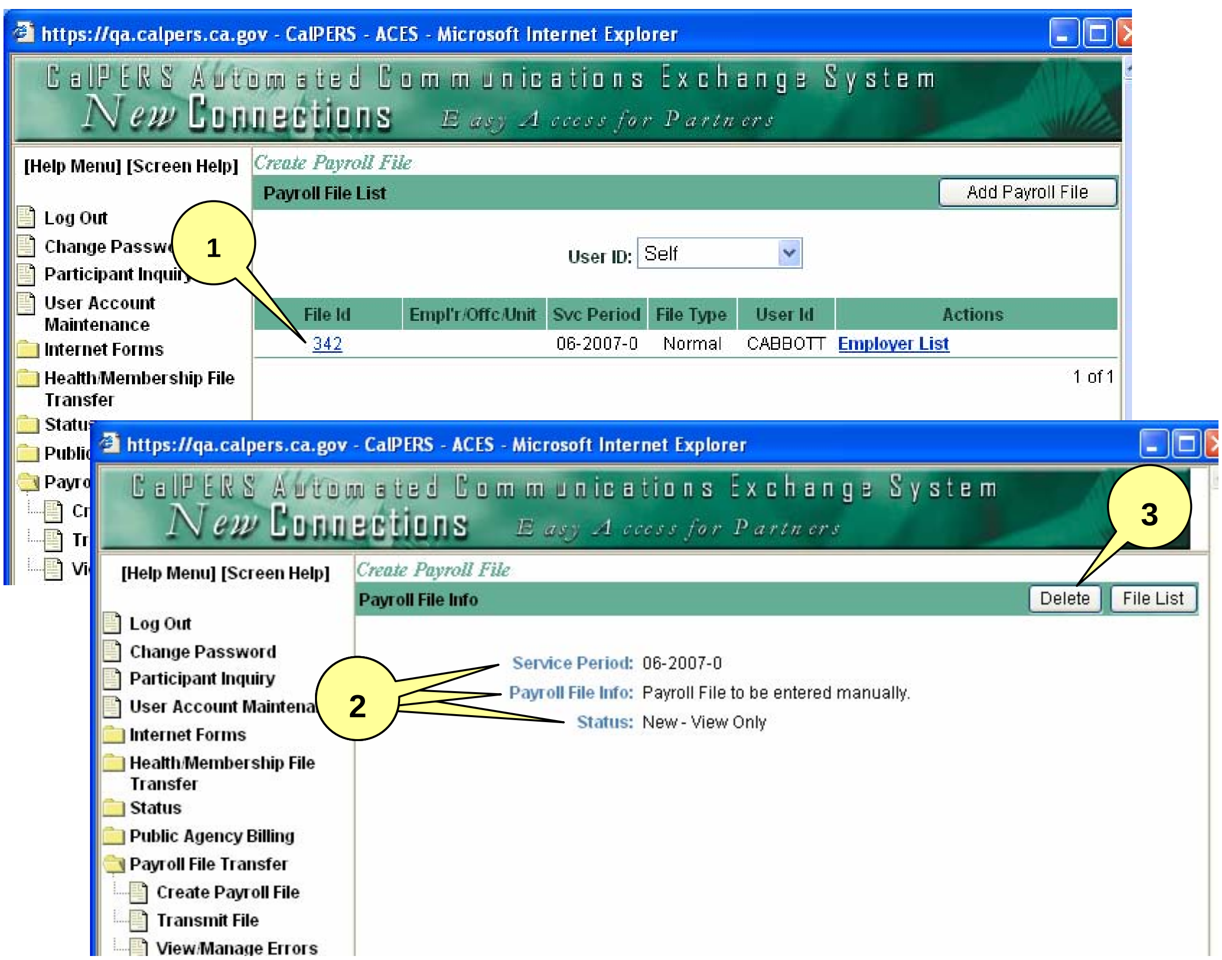
OVERVIEW:

The ACES **Payroll File Info** page shows the ACES user details of the File Id selected. This page is for view only or to delete the payroll file.

1. From the **Payroll File List** page select the appropriate **File Id**.

2. The **Payroll File Info** page shows the Service Period, Payroll File Info and Status of the created payroll file.

3. The user has the ability to delete the payroll file by selecting **Delete** in the right hand corner of the page only if the payroll status does not show "Conversion Pending", "Transmitted", or "Processed".



Payroll File Info shows information to the user on how the payroll file was created, the payroll file can be created manually or it can be selected from a previous successful normal payroll file tracking ID. Below are the messages a user would see:

- Payroll File to be entered manually (User wants to create brand new file)
- Payroll File created from Tracking Id: xxxxxxxx (User selects a Tracking Id of a successful payroll file that was processed from History.)
- Payroll File transmitted with Tracking ID: xxxxxxxx (The payroll file has been transmitted and assigned a Tracking Id.)

Status shows if the file is New or Processed. Below are the messages a user would see:

- New-View Only (The payroll file that is created is open for payroll edits. This payroll file has not been transmitted.)
- Conversion Pending (User requested to create a payroll file for a new service period using a previously "Processed" payroll file.)
- Transmitted (Payroll File has been successfully transmitted, but not yet picked up by CalPERS.)
- Processed (The payroll file has been successfully transmitted, validated, and picked up by CalPERS to be processed.)

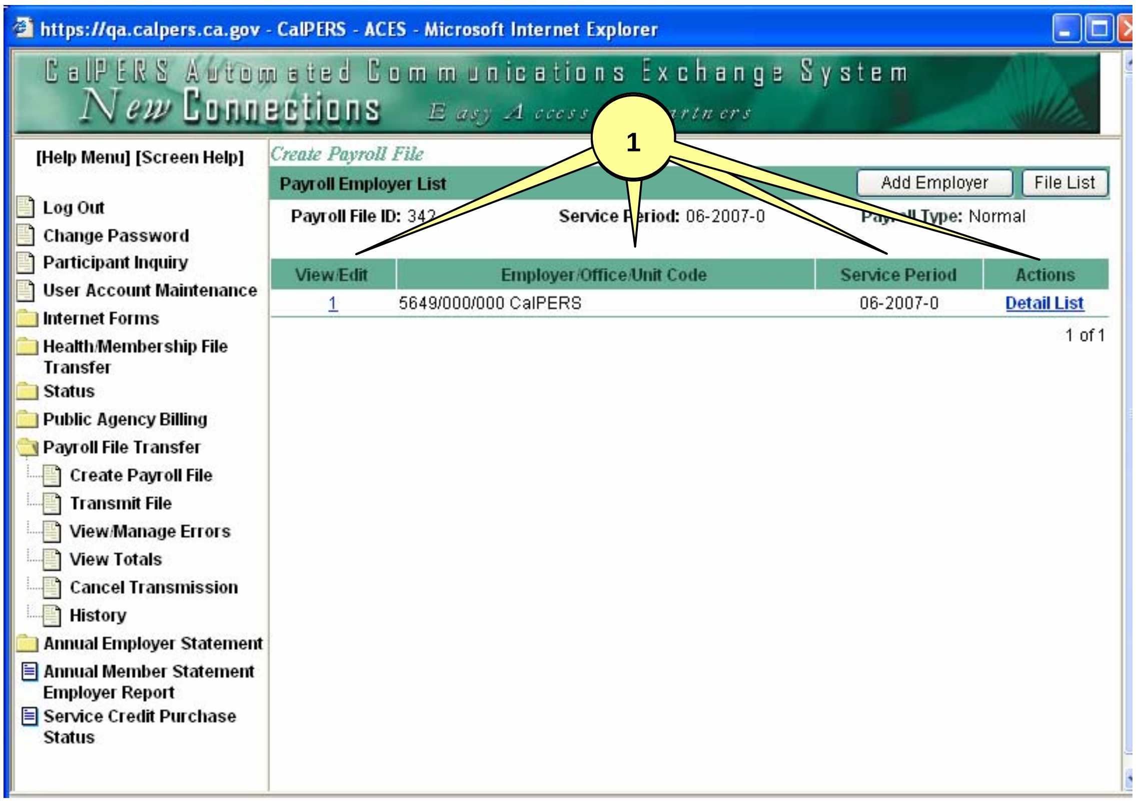
PAYROLL EMPLOYER LIST

OVERVIEW:

The **Payroll Employer List** page is where users enter the employer payroll data. The highlighted links under columns will also allow users to view/edit employer information.

1. Columns shown on page:

    - **View/Edit**
    - **Employer/Office Code/Unit Code**
    - **Service Period**
    - **Actions**

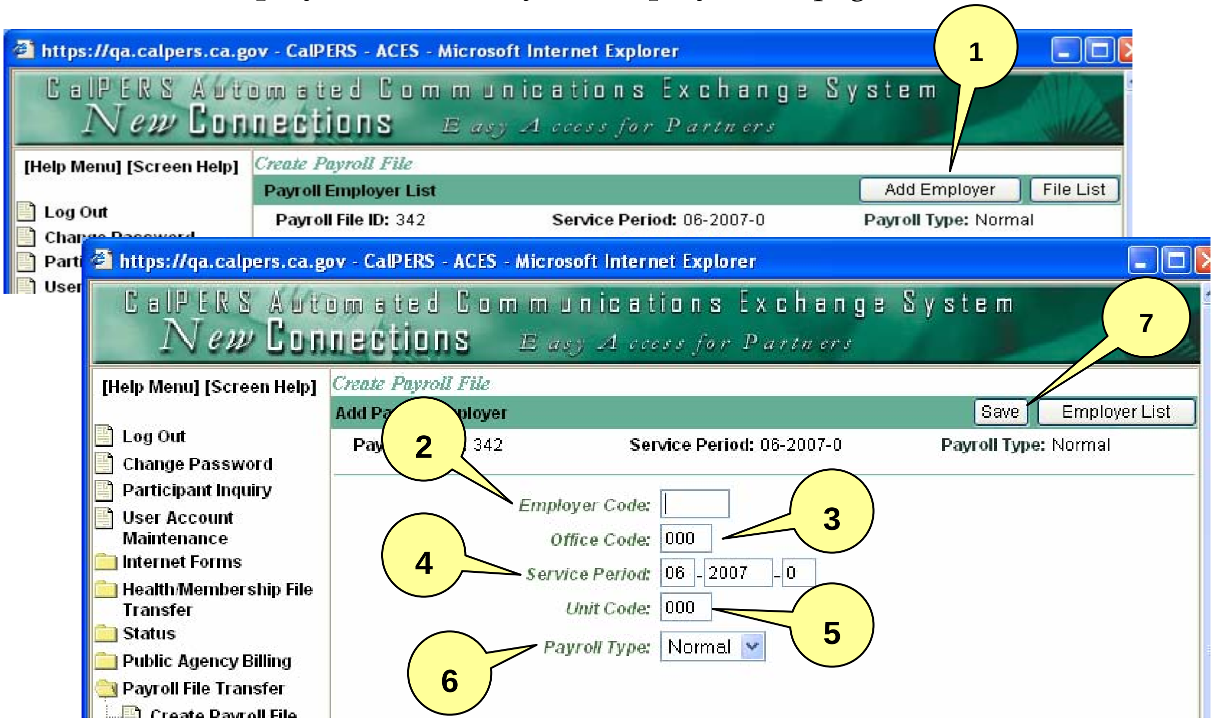


ADD PAYROLL EMPLOYER

OVERVIEW:

The **Payroll Employer List** page is used to create and store payroll database files in the ACES environment for one or more employers.

1. Select **Add Employer** from the **Payroll Employer List** page.



2. Enter a valid 4-digit employer code.

3. Enter office code, if applicable. If office code is not used, leave the default office code 000.

4. Service period is shown based on what was entered when **Add Payroll File** is selected on the **Payroll File List** page. The service period can be changed on this page, if applicable.

5. Enter unit code, if applicable. If unit code is not used, leave the default unit code 000. If more than one unit code is used, the user will be able to enter the unit code on the payroll record for the individual member.

6. The Payroll Type defaults to **Normal**. Select from the drop-down list: **Special** if submitting a special payroll. Note: “Special” payrolls cannot be converted later.

7. Select **Save**.

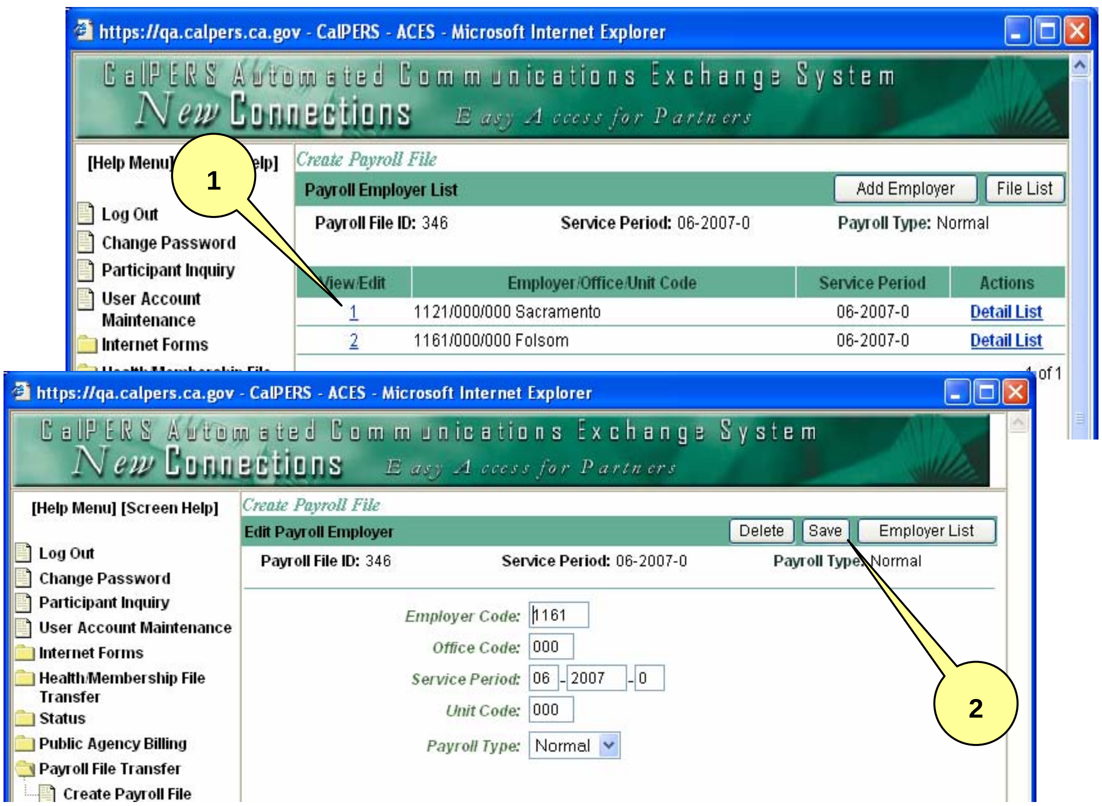
EDIT PAYROLL EMPLOYER

OVERVIEW:

The **Payroll Employer List** page is used to create and store payroll database files in the ACES environment for one or more employers. On the **Edit Payroll Employer** page, the user has the ability to modify previously entered data or delete the employer and associated information from the **Payroll Employer List**.

1. Select **View/Edit number** from the **Payroll Employer List** page.

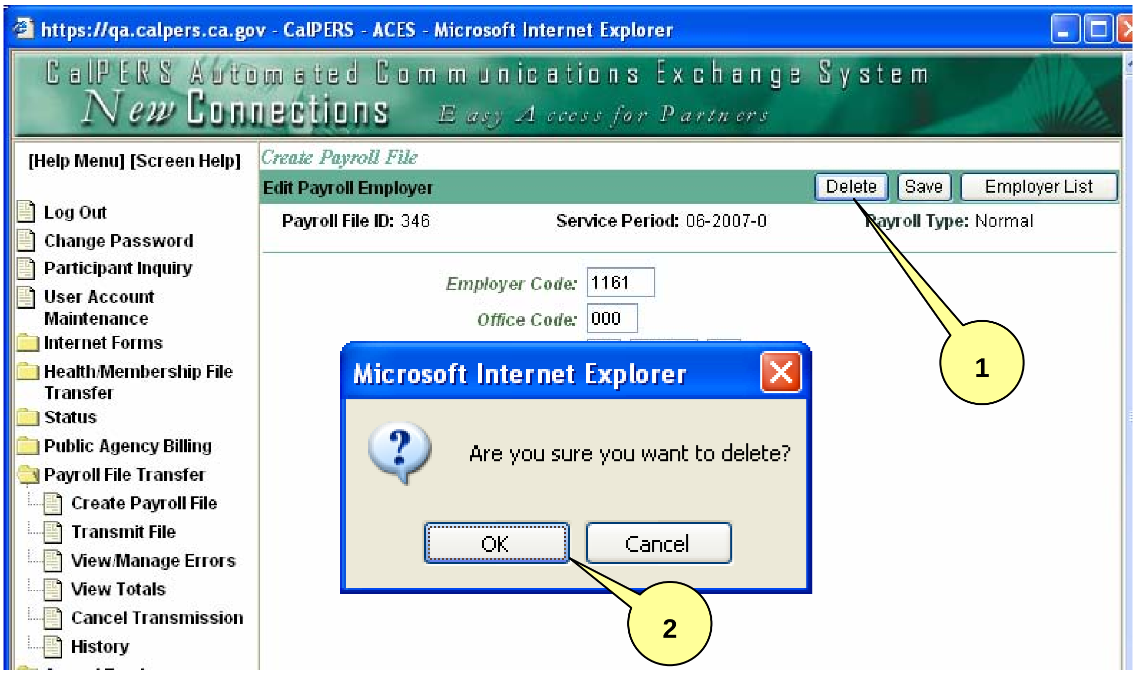
2. User has the ability to modify applicable fields; the information shown was entered via the **Add Payroll Employer** page. If changes have been made, select **Save**.



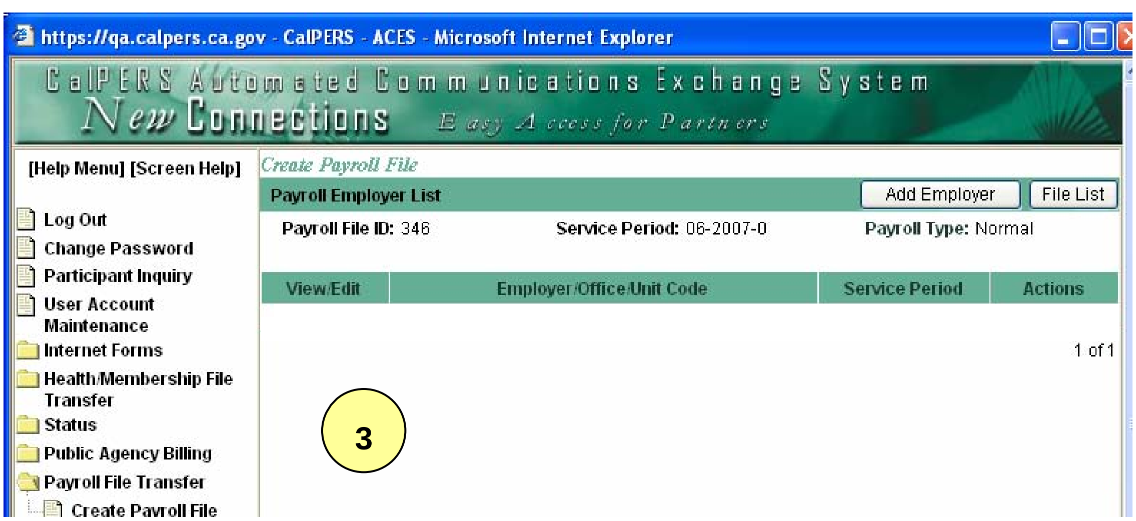
Delete Payroll Employer Information

1. If the employer information needs to be deleted, select **Delete** in the right hand corner.

2. Select **OK**.



3. User will return to the **Payroll Employer List** page and the employer payroll information that was deleted will not be shown.

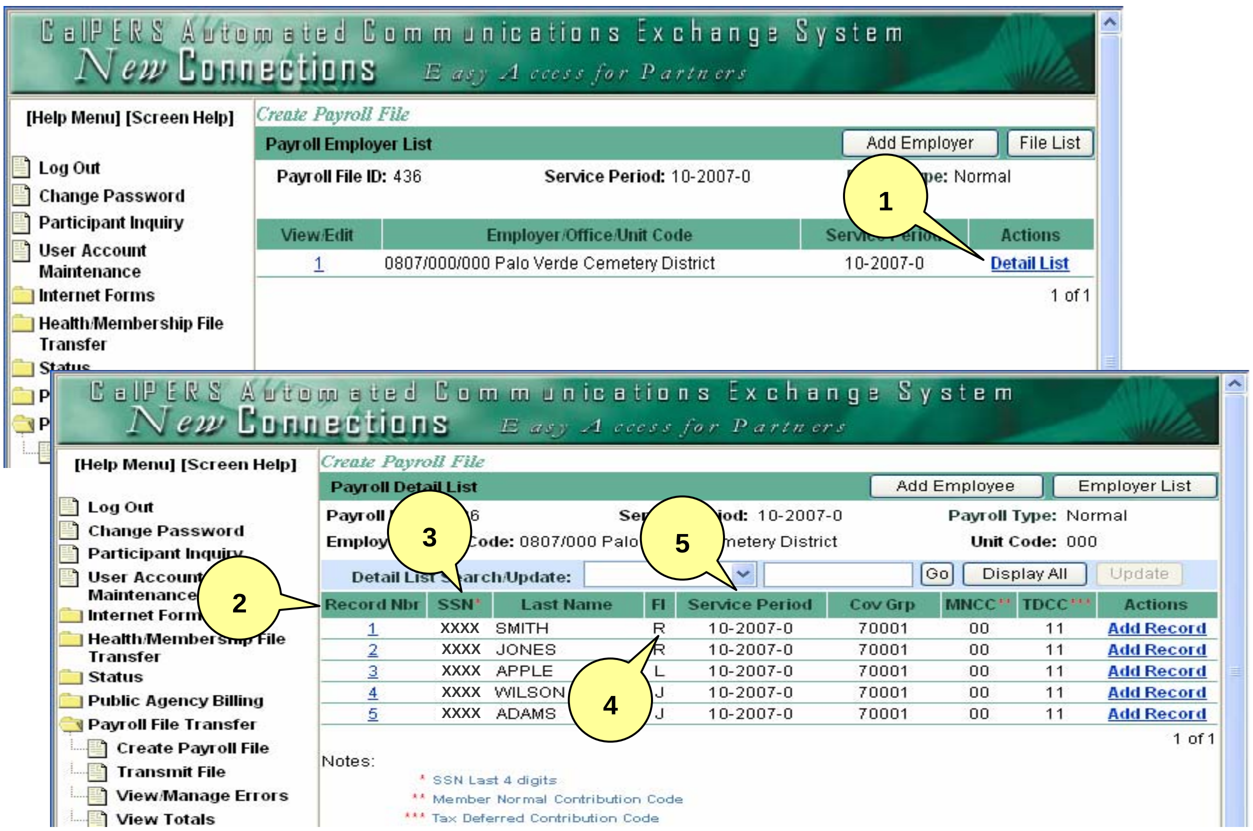


PAYROLL DETAIL LIST

OVERVIEW:

The **Payroll Detail List** page is used to create and store payroll detail records in the ACES environment for one or more members.

1. Select **Detail List** next to the appropriate **Payroll File** record from the **Payroll Employer List** page. This gives the user the ability to add, modify, and/or delete the appropriate member payroll information. This includes adding more than one payroll record for a member.



2. Record Number gives the user the ability to view and/or edit the member payroll information.

3. SSN is the last 4 digits for the member that is on the payroll file.

4. Last Name and First Initial is the information for the member on the payroll detail record.

5. Service Period is what is identified for the member on the payroll detail record.

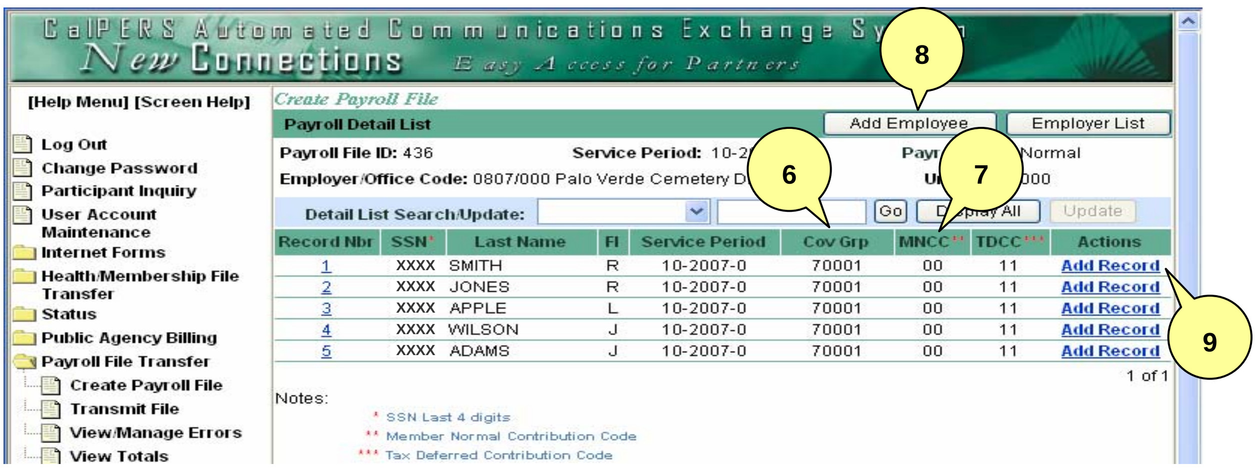
6. Coverage Group is what is identified for the member on the payroll detail record.

7. Member Normal Contribution Code (MNCC) and Tax Deferred Contribution Code (TDCC) is what is identified for the member on the payroll detail record.

8. From the **Payroll Detail List** page, the user can select the **Add Employee** button to enter a new member record to the payroll file.

9. The **Add Record** link enables the user to include additional payroll records for the individual member.

   NOTE: If payroll adjustments are made with member contribution codes 02, 03, 05 and/or 07 and tax-deferred member contribution codes 12, 13 and/or 15, these adjustment payroll records will be removed from the payroll file if selected to create a file for a future service period.



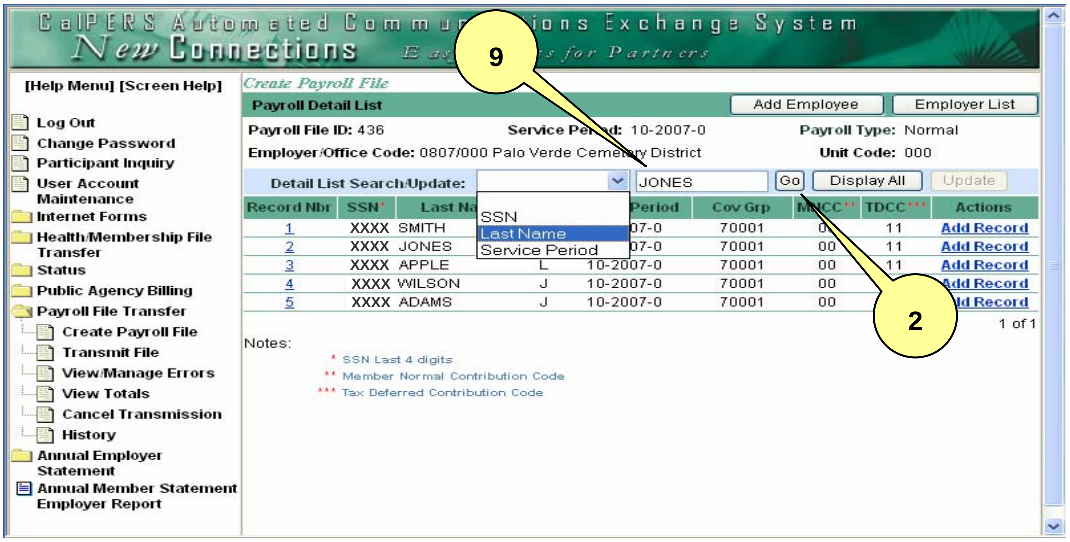
Performing Multiple Service Period Updates for Detail Records

The user has the ability to update all detail records within a specific Employer File if the Payroll File Service Period is changed. The only Payroll records that will be updated are those that correspond with Contribution Codes: 01, 04, 06, 11, 14 and 16.

1. Select the "**Detail List Search/Update**" drop-down arrow.
2. Select **Service Period**.
3. Select **Update** located next to "Display All."
4. ACES will display a message: "Are you sure you want to update? This applies to all records with MNCC = 01, 04, 06 and/or TDCC = 11, 14, 16."
5. Select **OK**.
6. ACES will display a message stating "**UPDATE COMPLETED"** at the top of the page.

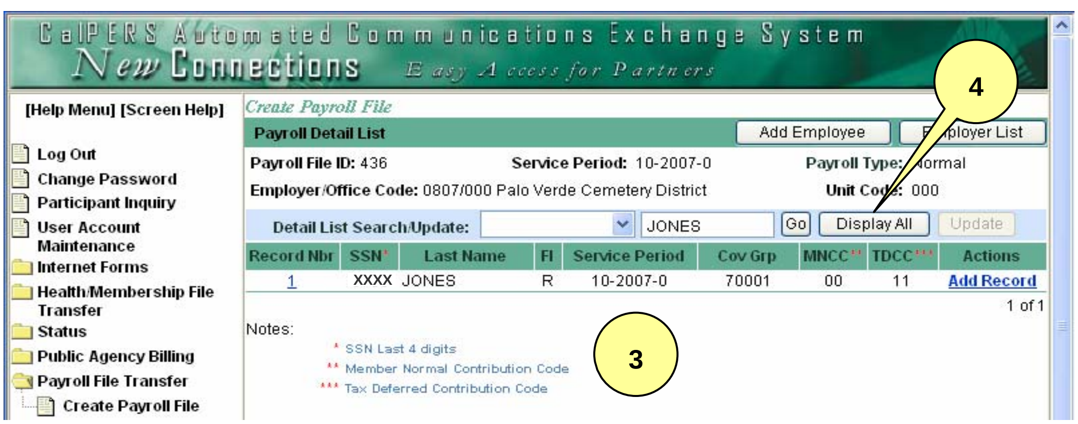
Performing a Detail List Search

1. The user has the ability to do a search on the detail list by either SSN or Last name. Once the selection is made from the drop-down list, the user can enter the complete SSN or only the last 4 digits or the ACES user can enter the last name of the member.



2. Select **Go**.

3. ACES will show only the records that match the search criteria.



4. If the ACES user wants to see all records for the payroll file, select **Display All**.

Add New Payroll Employee

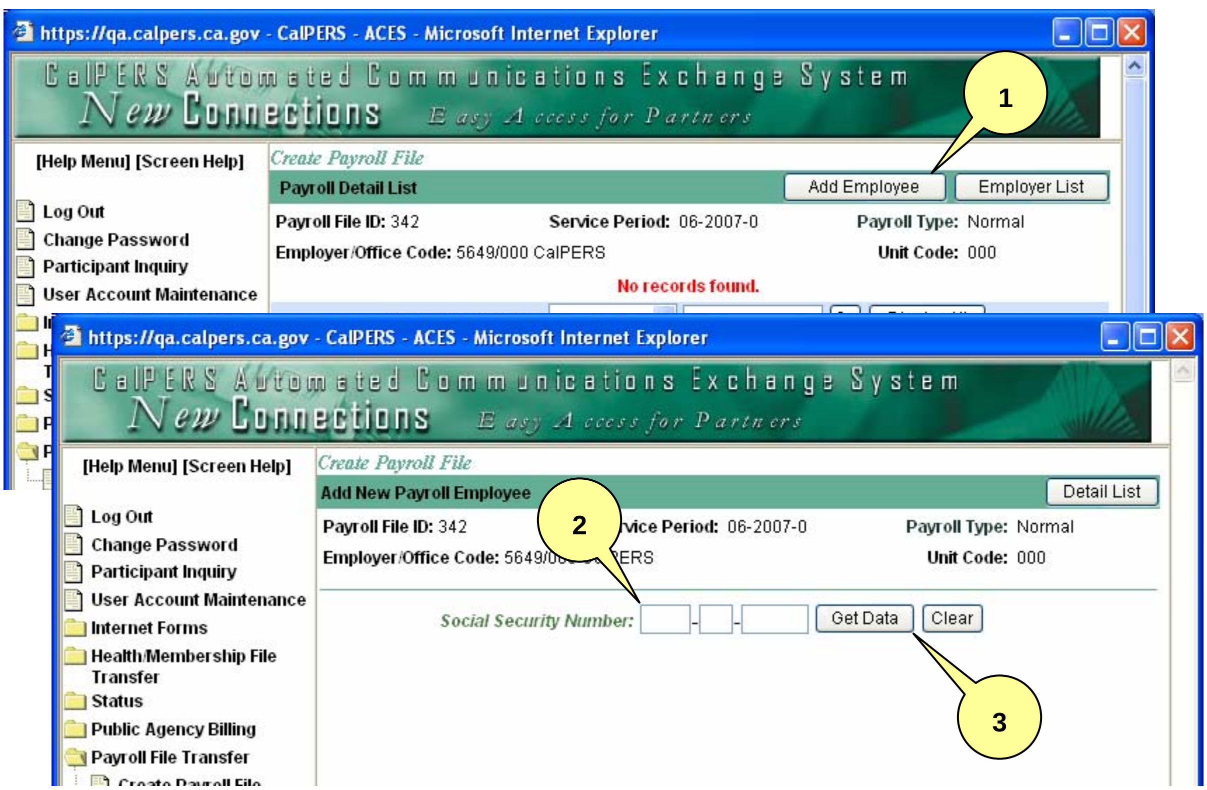
OVERVIEW:

The **Payroll Detail List** page is used to create and store payroll detail records in the ACES environment for one or more members. The **Add New Payroll Employee** page lets the ACES user enter new employee payroll information. The member's Social Security number (SSN) is validated as active for the appropriate employer. If the member does not have an active membership appointment, the ACES user must enter the membership through Internet Forms or fax in the AESD-1 to CalPERS and wait one day for the transaction to be updated. Once the membership is updated, the ACES user can utilize the **Add New Payroll Employee** page and continue the process.

1. Select **Add Employee** from the **Payroll Detail List** page. This gives the user the ability to add the appropriate new member payroll information.

2. Enter the SSN of the member.

3. Select **Get Data**.



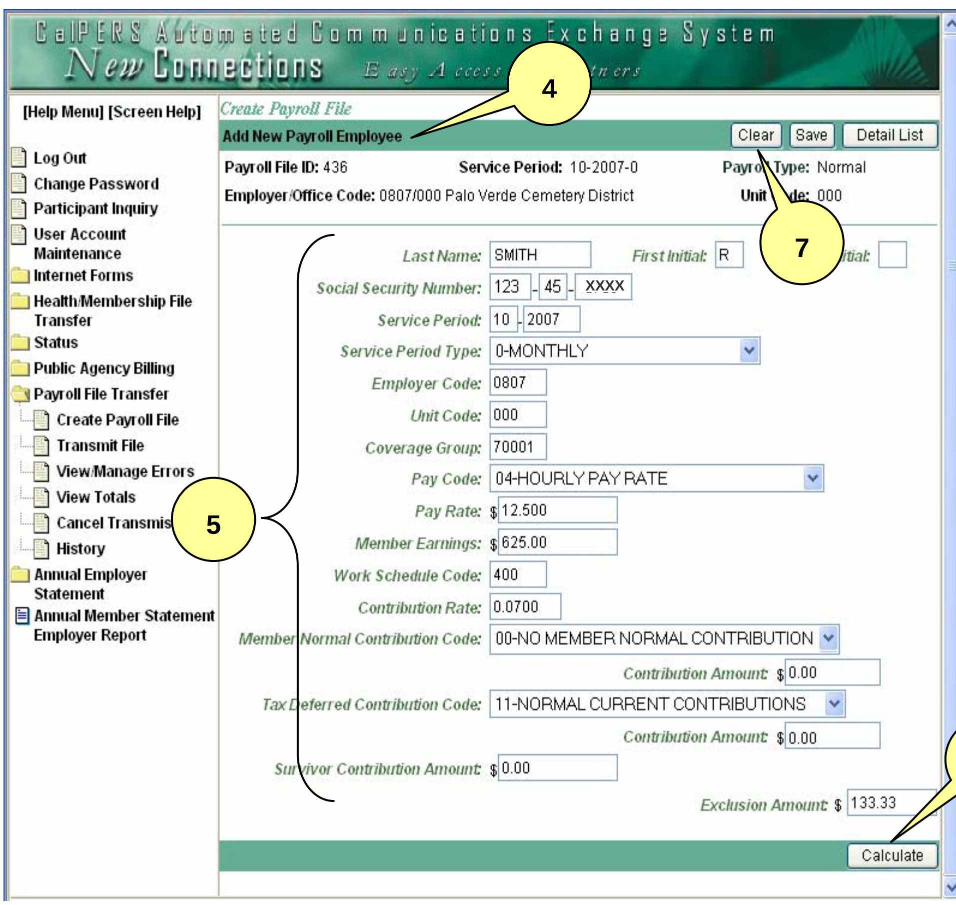
Note: If the SSN is already on the payroll file, the user will receive an error message stating the SSN has already been established.

4. The SSN entered gets validated with the appointment information on the CalPERS database. The user will be directed to the **Add New Payroll Employee** page.

5. The user can complete all the payroll detail fields that have not been pre-populated. The member name, SSN, unit code, and coverage group automatically default to what the CalPERS database reflects. The service period shows the current service period. With the exception of the SSN and Coverage Group, all the mentioned fields can be modified if needed

6. Once all payroll data is entered (up to the Contribution Code), select **Calculate** to calculate contributions.

7. Once information is populated, select **Save.** The user has the option to select **Clear** to clear the fields and start over entering the data.



ACES will immediately run through the validation to ensure the payroll data entered does not generate any errors. If the newly added payroll record passes the edits, the transaction will appear on the **Payroll Detail List**.

ADD PAYROLL DETAIL RECORD

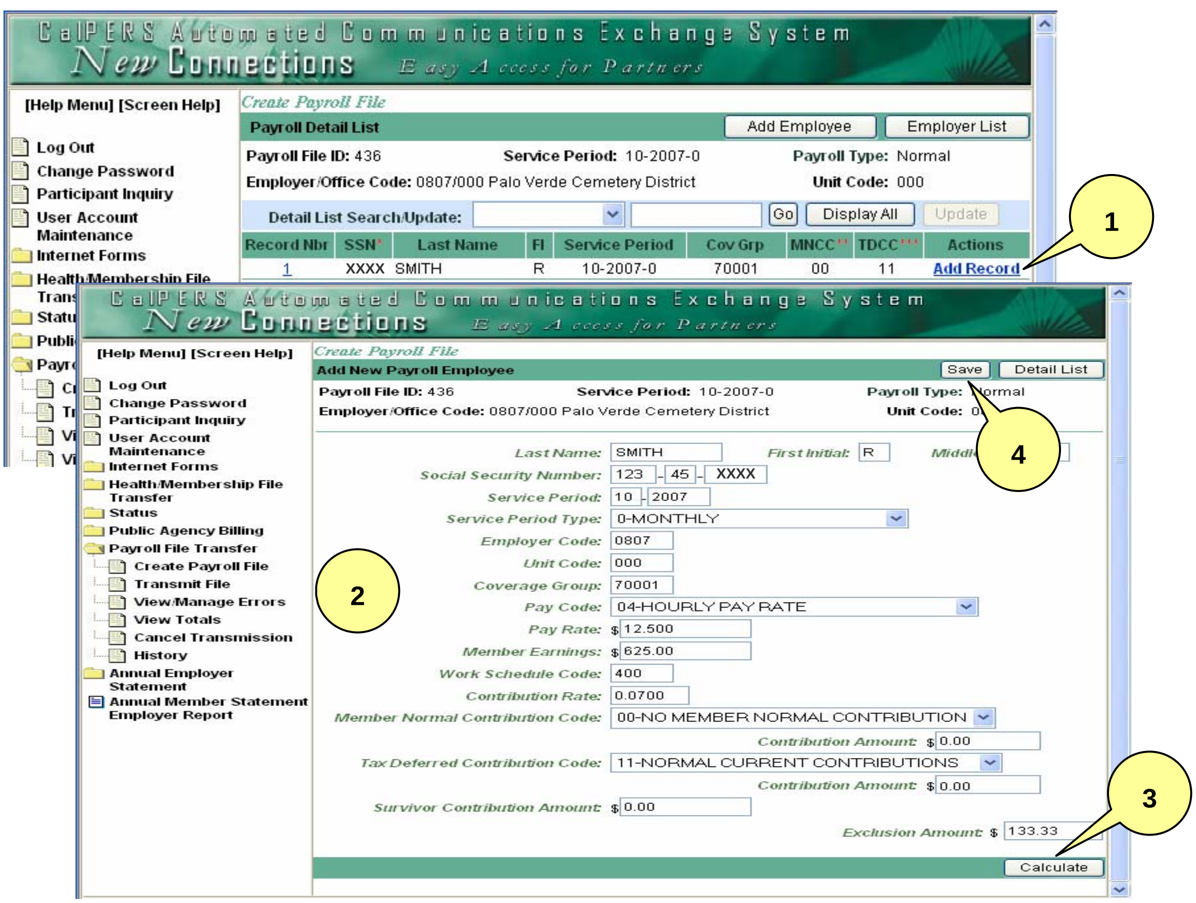
OVERVIEW:

The **Payroll Detail List** page is used to create and store payroll detail records in the ACES environment for one or more members. ACES users have the ability to add additional records for a member whose payroll information is already established.

1. Select **Add Record** from the **Payroll Detail List** page for the appropriate member. This gives the user the ability to add additional payroll records for the member on the specified created payroll file.

2. The user will need to complete all the payroll detail fields. The member name, SSN, unit code and coverage group automatically default to what CalPERS membership database shows for the member. The service period shows the current service period.

3. Once all payroll data is entered (up to the Contribution Code), select **Calculate** to calculate contributions. All the mentioned fields can be modified, if needed.



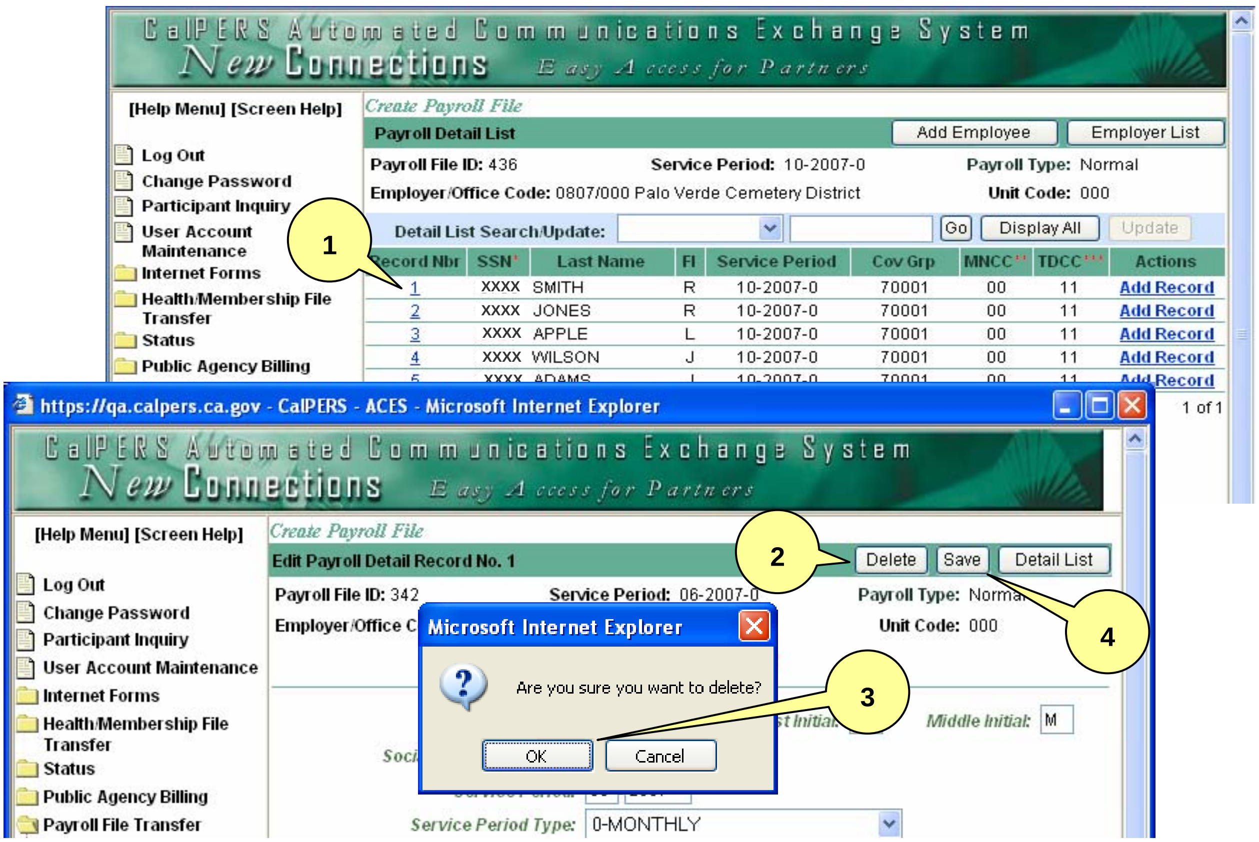
4. Once all information is entered, select **Save**.

EDIT PAYROLL DETAIL RECORD

OVERVIEW:

The **Payroll Detail List** page is used to create and store payroll detail records in the ACES environment for one or more members. ACES users have the ability to modify or delete a member's payroll detail record.

1. Select the **Record Number** from the **Payroll Detail List** page. This gives the user the ability to modify or delete the member payroll information.



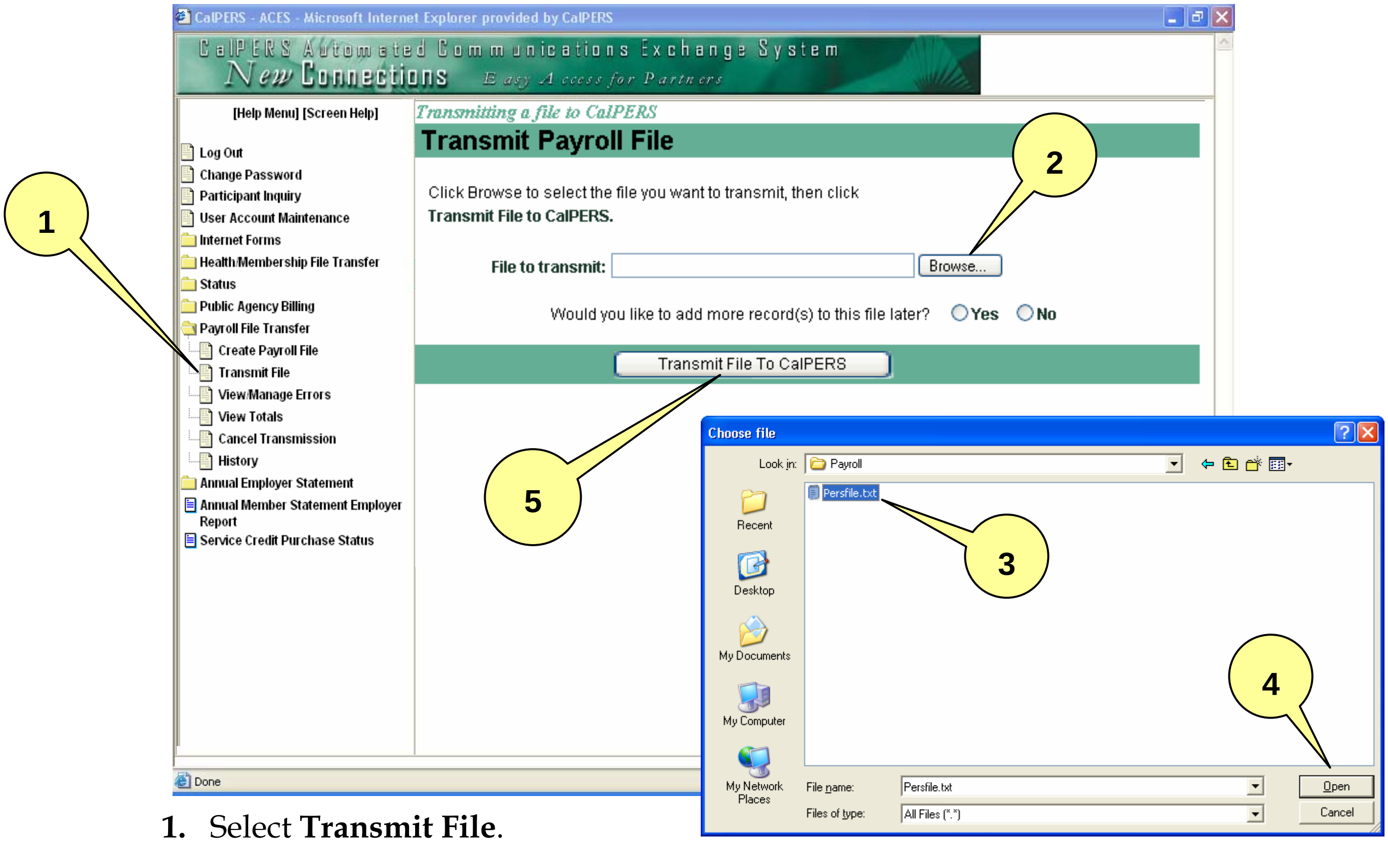
2. If the payroll record needs to be deleted, select the **Delete** button in the top right hand corner.

3. Select **OK** to delete the payroll record.

4. If modifications are needed on the payroll record, enter the necessary changes and select **Save**.

Transmit File

Use the **Transmit File** function to send a new payroll file created outside of ACES.

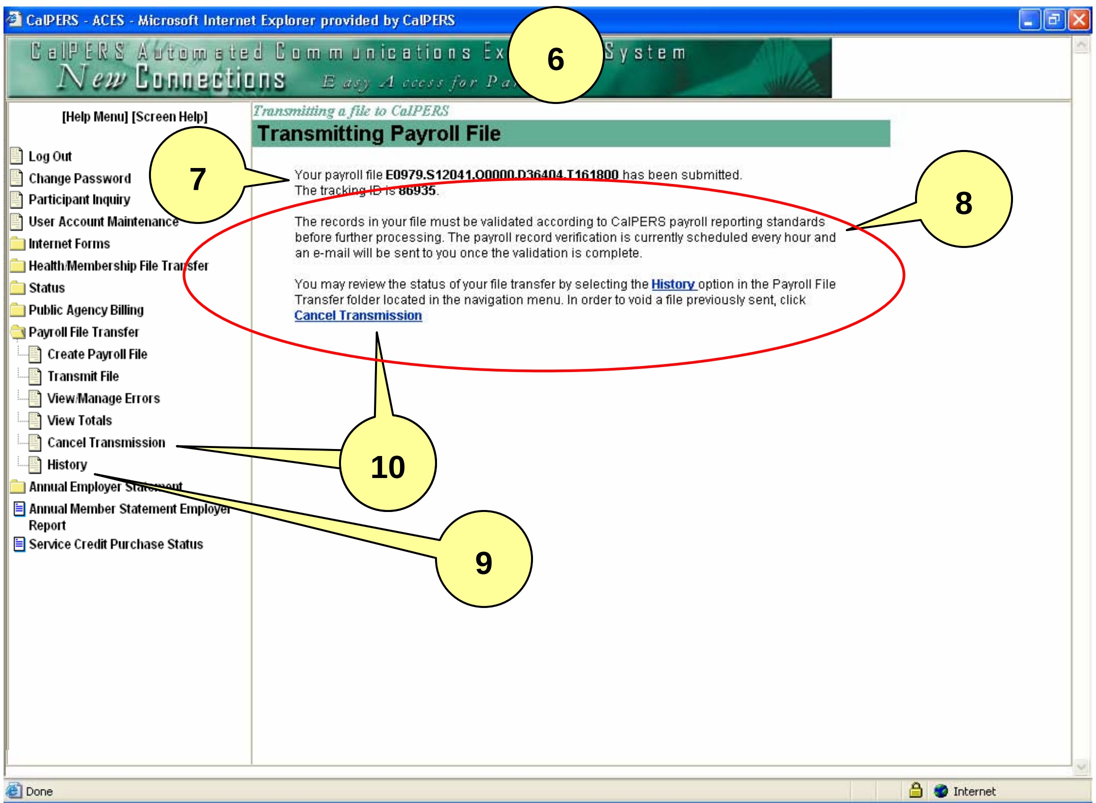


1. Select **Transmit File**.
2. Select **Browse** to locate the appropriate file.
3. **Double Click** or **highlight** the appropriate file.
4. Select **Open**.
5. Once the ***File to transmit*** area is populated with the correct file, you will be required to answer whether or not you would like to add a payroll record. If you fail to do this, a warning message will appear indicating that you must select "yes" or "no." Select **Transmit File to CalPERS**.

NOTE: Upon selecting **Transmit File to CalPERS**, you may receive an error message associated with the file transfer: ***"One or more agencies contained in XXXX.txt have records from another payroll file submissions awaiting verification. The file cannot be submitted until this other data has been processed."***

This error message displayed in red indicates that you have already submitted a payroll file for this employer code, and that file is waiting to run through the validation process. Another file cannot be transmitted until the existing file has been successfully verified or cancelled.

6. The ***Transmitting Payroll File*** page displays, indicating the result of your transmission.
7. The payroll file number and tracking ID are provided. Use the tracking ID to track file status, correct errors, retransmit or cancel a file.
8. Individual file records are validated according to CalPERS reporting standards prior to further processing. The validation process runs hourly every quarter of the hour (i.e., 6:45 a.m., 7:45 a.m., etc.) until 2:45 p.m.



9. Select **History** for additional file status information.
10. Select **Cancel Transmission** if you wish to cancel the transmitted files.

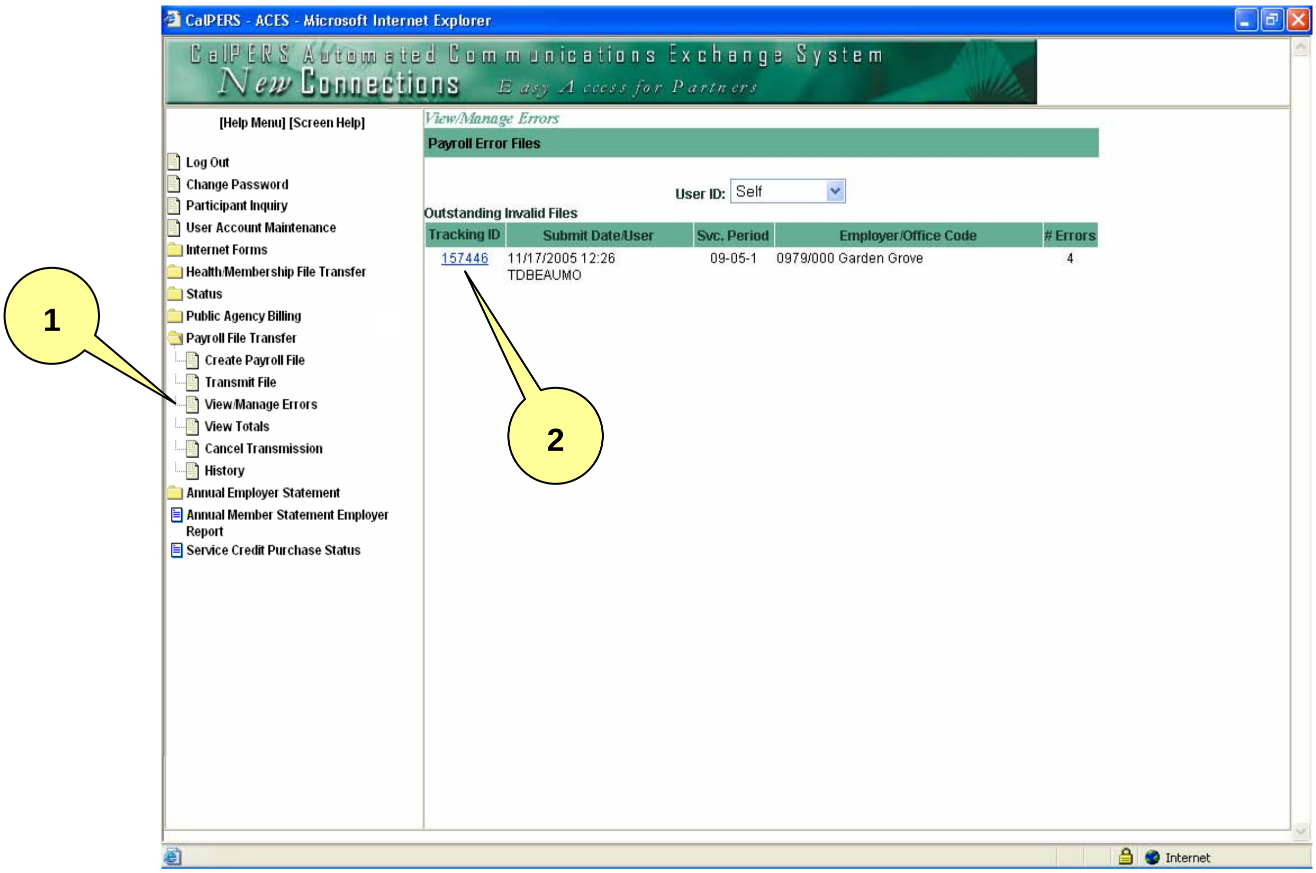
File Validation and E-mail Notification

Once the file goes through ACES validation, an email is sent to the ACES user with the results of the payroll file validation, Tracking ID number, and Service Period.

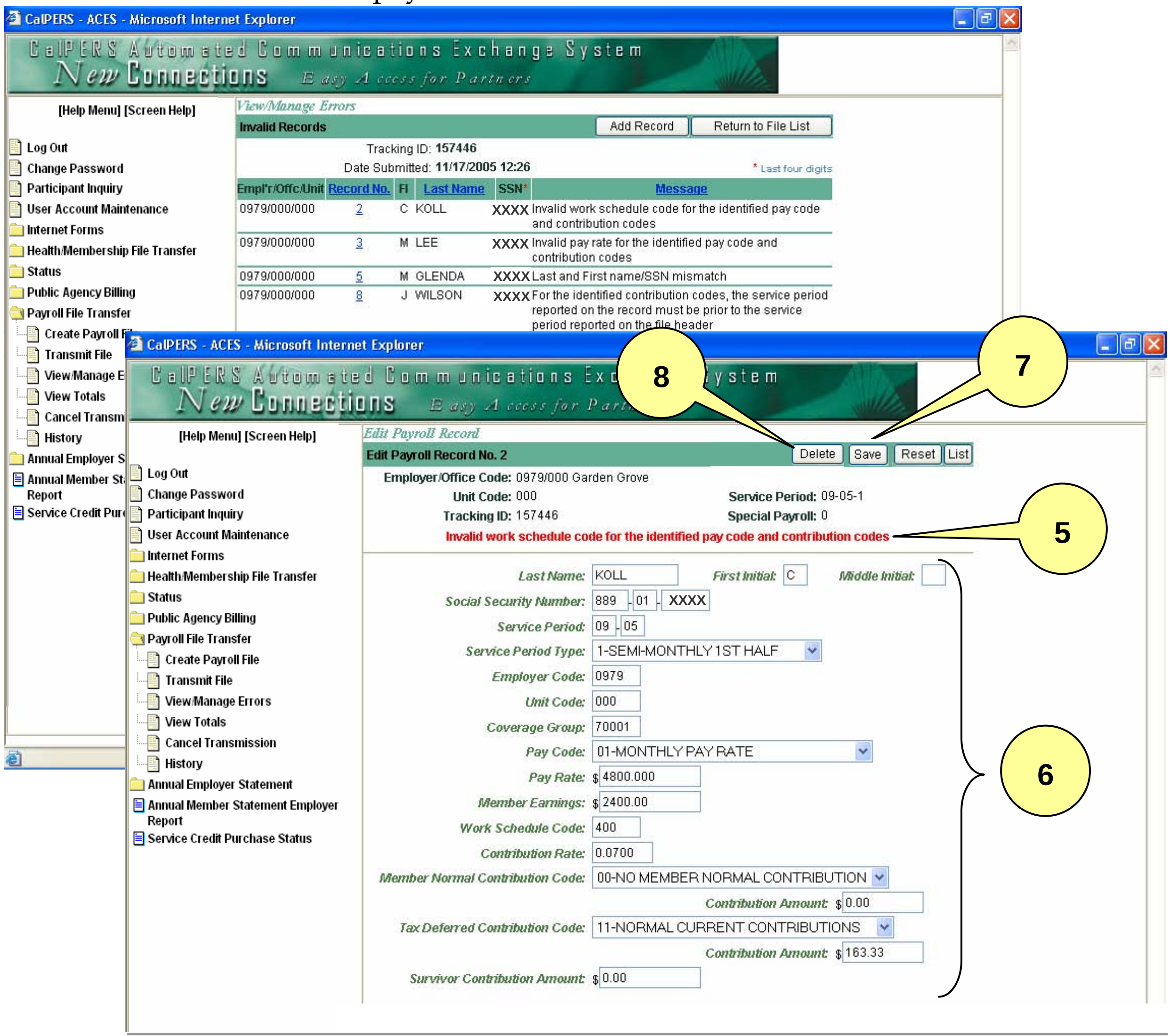
Payroll File Verification Status	**Description/Message**
Successful	The file is error free and will automatically transmit from ACES to CalPERS at 3:00 p.m. This email also displays the Balance Due. Payroll totals can be viewed via ACES in the *Payroll File Transfer* folder, *View Totals*.
Failed	The file contains a manageable number of errors that can be corrected via ACES in the *Payroll File Transfer* folder, *View/Manage Errors*. Transmission to CalPERS is suspended until the errors are corrected. Once all errors are corrected, select the **ReTransmit** button.
Rejected	The maximum number of allowed payroll record errors (1,000) has been exceeded. The file is rejected by ACES and cannot be corrected online. The file must be corrected outside of ACES and retransmitted. Additional information is located via ACES in the Payroll File Transfer Folder, History, Payroll Error Report.
Pending	The file is error-free; however, the user had indicated that he/she would like to add more record(s) to this file later before the file was transmitted. The transmission is suspended until the user goes into ACES Payroll File Transfer folder, View/Manage Errors to add more records, or if no records are to be added, select the **ReTransmit** button.

View/Manage Errors

1. To view the ***Payroll Error Files***, select **View/Manage Errors** in the ***Payroll File Transfer*** folder.
2. To view invalid records, select the **Tracking ID** of the file containing errors.



3. The ***Invalid Records*** page displays the list of errors with the descriptive error messages.
4. To view and correct the payroll record, select the **Record Number**.



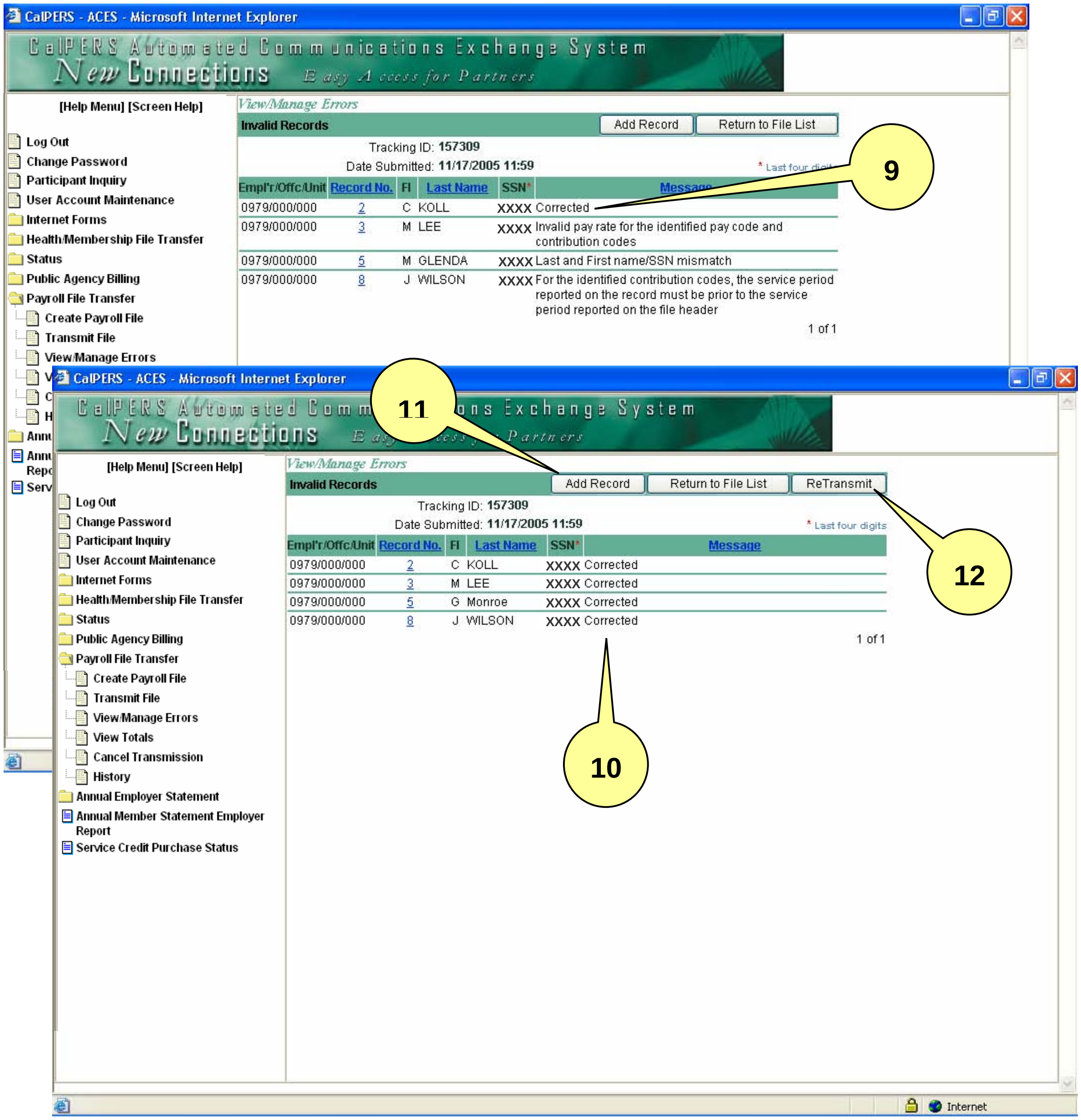
5. Error message displays in red.
6. Make the necessary corrections on the ***Edit Payroll Record*** page according to CalPERS payroll reporting standards.
7. Select **Save**. ACES will immediately run through the validation again to ensure the new date entered does not generate a new error.

Note: If you change earnings, the following warning message will appear:

You have changed the member earnings; do you need to modify the Member Contribution amount and/or Tax Deferred Member Contribution amount?

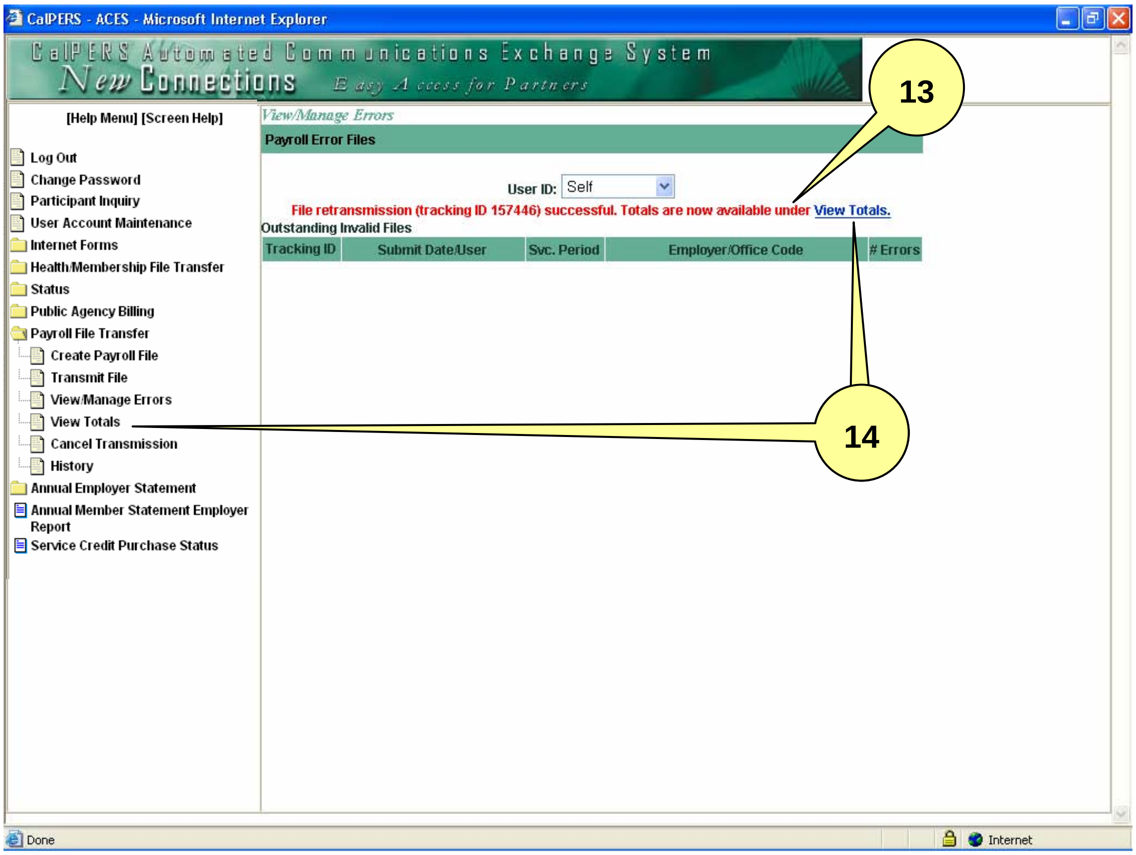
8. **Deleting an invalid Payroll record**: ACES users have the capability to delete an invalid payroll record within *Edit Payroll Record*. The record will be removed from the file and the amounts will not be included in the payroll totals.

9. Once the information is in compliance, the ***Invalid Records*** page displays "**Corrected**." Continue these steps until all error transactions have been **corrected**.



10. When all errors are corrected, the **ReTransmit** button appears in the top right corner of the ***Invalid Records*** page.
11. ***Add Payroll Record***: ACES users have the capability to add payroll records to the file within the ***Invalid Records*** page. Once the record is successfully added to the payroll file, the earnings and contribution amounts of the added record(s) will be included in the Payroll Totals.
12. Select **ReTransmit** to electronically transmit the corrected file to CalPERS.

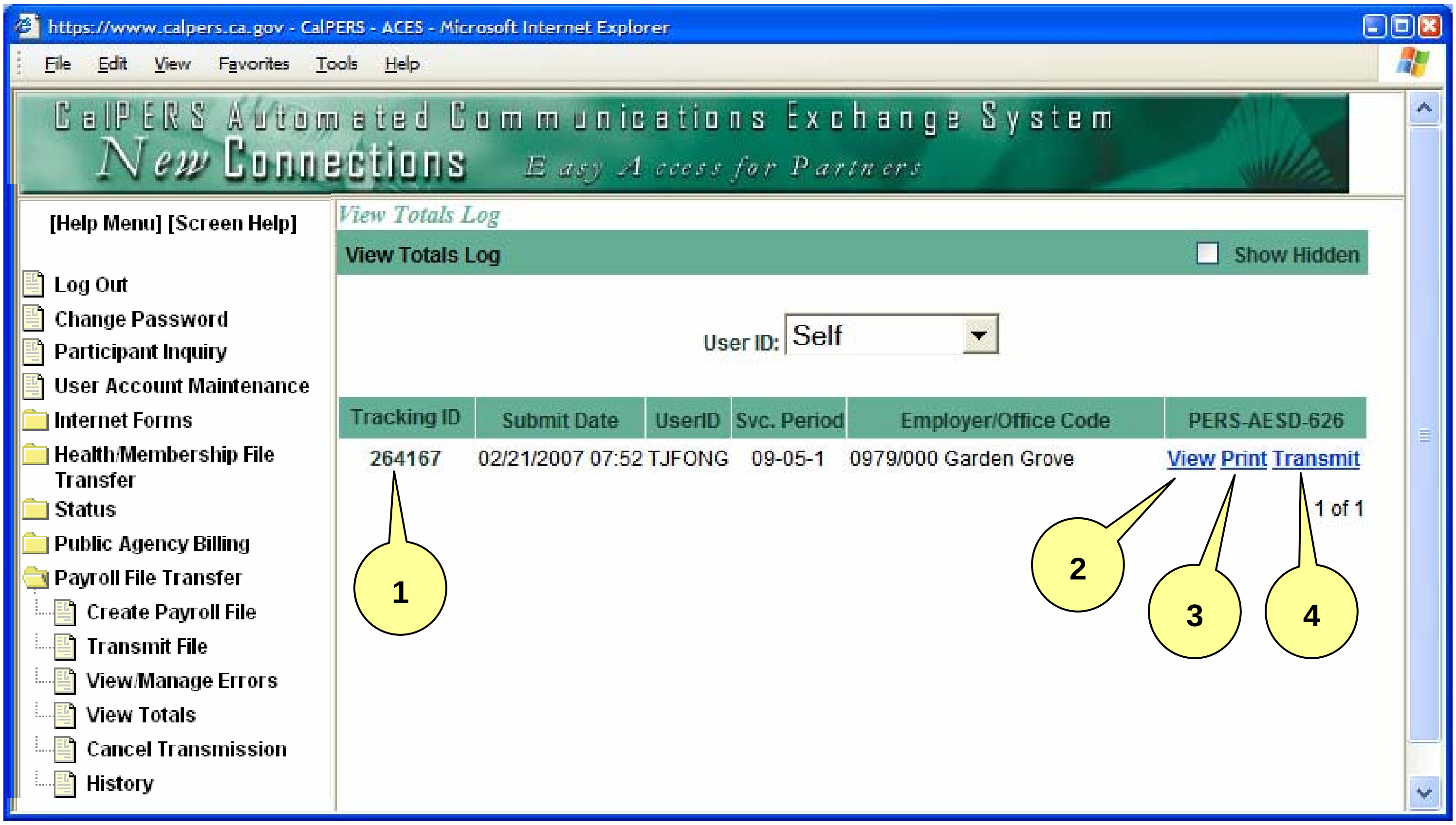
13. When the file is successfully retransmitted, the following message appears: "File retransmission (tracking ID *XXX*) successful. Totals are now available under **View Totals**."
An email indicating successful verification is sent including the balance due.



14. Select **View Totals** to access the ***View Totals Log*** page.

View Totals Log

Once the payroll file is successfully validated, the ***Member and Employer Contribution Totals*** and the ***AESD-626*** are available to view, print, and/or electronically transmit. Information is retained in View Totals for twelve months.



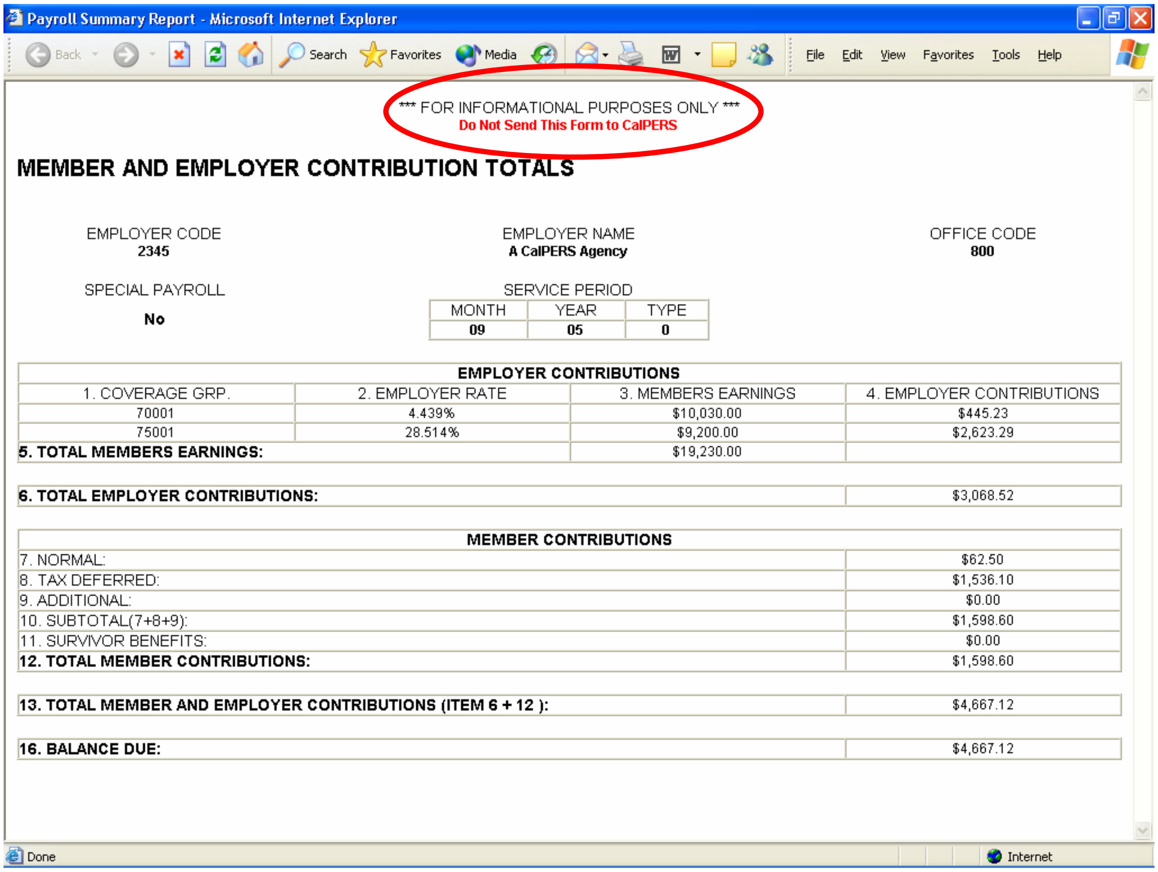
1. Locate the payroll file **Tracking ID**.

2. Select **View** for member and employer contribution totals associated with the payroll file (this **View** function is used for informational purposes only).

3. Select **Print** for the system-generated ***Summary Report, Member and Employer Contributions (PERS-AESD-626)*** based on the amounts transmitted (for more information on when to use the **Print** function, please refer to the "Submitting the Summary Report to CalPERS" section).

4. Select **Transmit** to electronically submit the AESD-626 to CalPERS.
   NOTE: The **Transmit** function only applies to ACES users who submit their payment to CalPERS through Electronic Fund Transfer (EFT).

Member and Employer Contribution Totals



Payroll Summary Report - Microsoft Internet Explorer

*** FOR INFORMATIONAL PURPOSES ONLY ***
Do Not Send This Form to CalPERS

MEMBER AND EMPLOYER CONTRIBUTION TOTALS

EMPLOYER CODE	EMPLOYER NAME	OFFICE CODE
2345	A CalPERS Agency	800

SPECIAL PAYROLL: No

SERVICE PERIOD		
MONTH	YEAR	TYPE
09	05	0

EMPLOYER CONTRIBUTIONS			
1. COVERAGE GRP.	2. EMPLOYER RATE	3. MEMBERS EARNINGS	4. EMPLOYER CONTRIBUTIONS
70001	4.439%	$10,030.00	$445.23
75001	28.514%	$9,200.00	$2,623.29
5. TOTAL MEMBERS EARNINGS:		$19,230.00	
6. TOTAL EMPLOYER CONTRIBUTIONS:			$3,068.52

MEMBER CONTRIBUTIONS	
7. NORMAL:	$62.50
8. TAX DEFERRED:	$1,536.10
9. ADDITIONAL:	$0.00
10. SUBTOTAL(7+8+9):	$1,598.60
11. SURVIVOR BENEFITS:	$0.00
12. TOTAL MEMBER CONTRIBUTIONS:	$1,598.60
13. TOTAL MEMBER AND EMPLOYER CONTRIBUTIONS (ITEM 6 + 12):	$4,667.12
16. BALANCE DUE:	$4,667.12

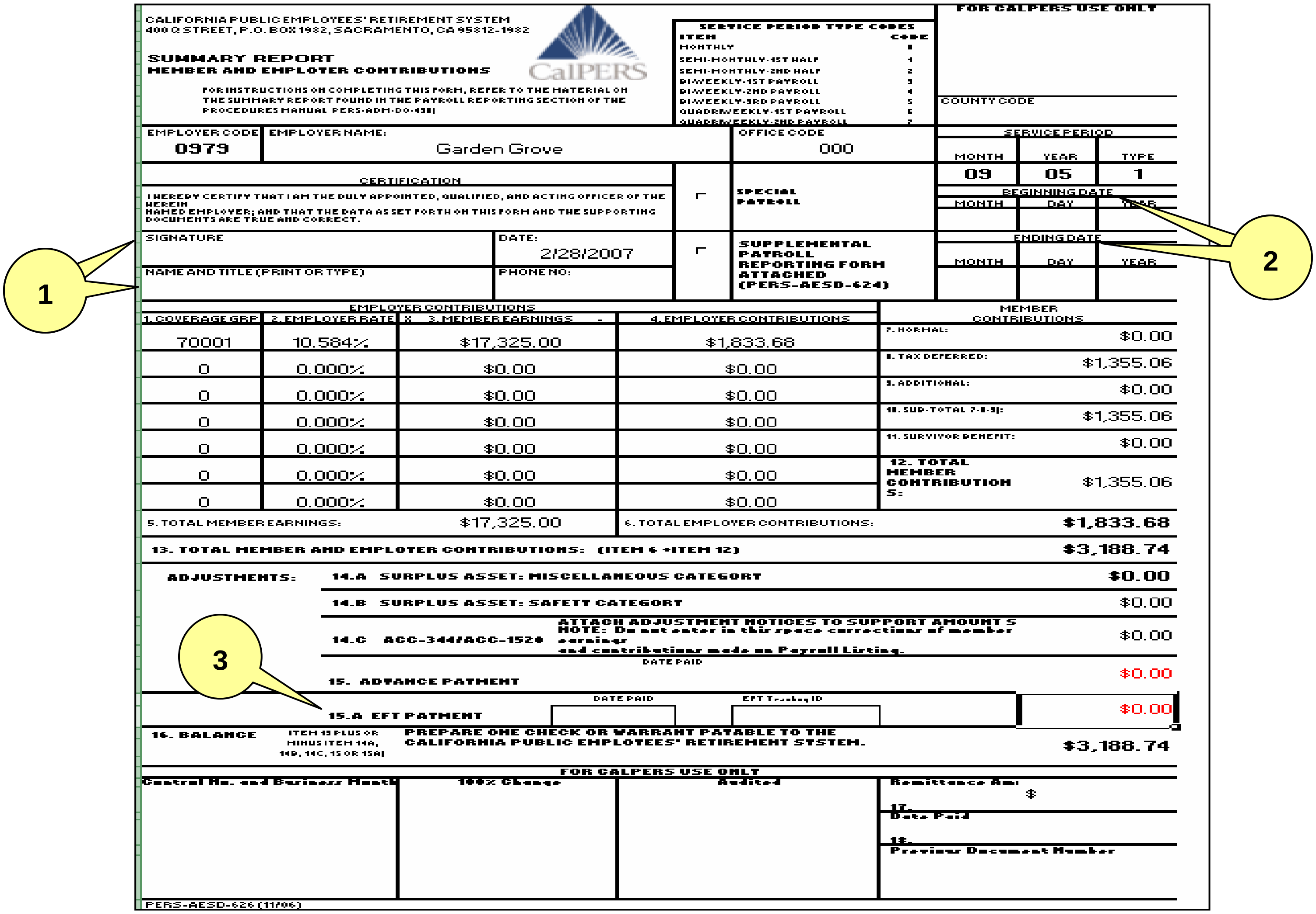
Done | Internet

The *Member and Employer Contribution Totals* screen is for informational purposes only. The totals are available for comparison purposes.

Note: Do NOT send a print of this screen to CalPERS

Summary Report, Member and Employer Contributions (AESD-626)

For a successfully validated payroll file, ACES generates a ***Summary Report, Member and Employer Contributions (AESD-626)*** based on the amounts transmitted.


CALIFORNIA PUBLIC EMPLOYEES' RETIREMENT SYSTEM
400 Q STREET, P.O. BOX 1982, SACRAMENTO, CA 95812-1982

SUMMARY REPORT
MEMBER AND EMPLOYER CONTRIBUTIONS

FOR INSTRUCTIONS ON COMPLETING THIS FORM, REFER TO THE MATERIAL ON THE SUMMARY REPORT FOUND IN THE PAYROLL REPORTING SECTION OF THE PROCEDURES MANUAL PERS-ADM-DO-438)

CalPERS

SERVICE PERIOD TYPE CODES

ITEM	CODE
MONTHLY	0
SEMI-MONTHLY-1ST HALF	1
SEMI-MONTHLY-2ND HALF	2
BI-WEEKLY-1ST PAYROLL	3
BI-WEEKLY-2ND PAYROLL	4
BI-WEEKLY-3RD PAYROLL	5
QUADRIWEEKLY-1ST PAYROLL	6
QUADRIWEEKLY-2ND PAYROLL	7

FOR CALPERS USE ONLY
COUNTY CODE

EMPLOYER CODE: 0979
EMPLOYER NAME: Garden Grove
OFFICE CODE: 000

SERVICE PERIOD: MONTH 09 YEAR 05 TYPE 1
BEGINNING DATE: MONTH DAY YEAR
ENDING DATE: MONTH DAY YEAR

CERTIFICATION
I HEREBY CERTIFY THAT I AM THE DULY APPOINTED, QUALIFIED, AND ACTING OFFICER OF THE HEREIN NAMED EMPLOYER; AND THAT THE DATA AS SET FORTH ON THIS FORM AND THE SUPPORTING DOCUMENTS ARE TRUE AND CORRECT.

SPECIAL PAYROLL
SUPPLEMENTAL PAYROLL REPORTING FORM ATTACHED (PERS-AESD-624)

SIGNATURE
DATE: 2/28/2007
NAME AND TITLE (PRINT OR TYPE)
PHONE NO:

EMPLOYER CONTRIBUTIONS

1. COVERAGE GRP	2. EMPLOYER RATE	X 3. MEMBER EARNINGS	= 4. EMPLOYER CONTRIBUTIONS
70001	10.584%	$17,325.00	$1,833.68
0	0.000%	$0.00	$0.00
0	0.000%	$0.00	$0.00
0	0.000%	$0.00	$0.00
0	0.000%	$0.00	$0.00
0	0.000%	$0.00	$0.00
0	0.000%	$0.00	$0.00
5. TOTAL MEMBER EARNINGS:		$17,325.00	6. TOTAL EMPLOYER CONTRIBUTIONS: $1,833.68

MEMBER CONTRIBUTIONS

7. NORMAL:	$0.00
8. TAX DEFERRED:	$1,355.06
9. ADDITIONAL:	$0.00
10. SUB-TOTAL 7-8-9):	$1,355.06
11. SURVIVOR BENEFIT:	$0.00
12. TOTAL MEMBER CONTRIBUTIONS:	$1,355.06

13. TOTAL MEMBER AND EMPLOYER CONTRIBUTIONS: (ITEM 6 + ITEM 12) $3,188.74

ADJUSTMENTS:
14.A SURPLUS ASSET: MISCELLANEOUS CATEGORY $0.00
14.B SURPLUS ASSET: SAFETY CATEGORY $0.00
14.C ACC-344/ACC-1520 ATTACH ADJUSTMENT NOTICES TO SUPPORT AMOUNTS NOTE: Do not enter in this space corrections of member earnings and contributions made on Payroll Listing. $0.00
15. ADVANCE PAYMENT DATE PAID $0.00
15.A EFT PAYMENT DATE PAID EFT Tracking ID $0.00
16. BALANCE (ITEM 13 PLUS OR MINUS ITEM 14A, 14B, 14C, 15 OR 15A) PREPARE ONE CHECK OR WARRANT PAYABLE TO THE CALIFORNIA PUBLIC EMPLOYEES' RETIREMENT SYSTEM. $3,188.74

FOR CALPERS USE ONLY
Control No. and Business Month | 100% Change | Audited | Remittance Amt $
17. Date Paid
18. Previous Document Number

PERS-AESD-626 (11/06)

Select the appropriate box of the online form to enter information as follows:

1. Complete contact information, which includes signature (after form is printed), name and title, and phone number.
2. Enter the beginning and ending date information for the payroll period.
3. ACES users who submit their contributions payment through Electronic Fund Transfer (EFT) will use an additional line item (15A) prompting them to provide an **EFT Tracking ID Number**, **Date Paid**, and **Amount Paid** on the Transmit PERS-AESD-626 form.

NOTE: If submitting a *Supplemental Payroll Reporting Form* (AESD-624) in addition to the payroll file, the system-generated AESD-626 can be modified to include the supplemental amounts. Please verify your employer rate in box 2 and modify the online form as necessary.

Submitting the Summary Report to CalPERS

When a payroll file is submitted via ACES, the ***Summary Report, Member and Employer Contributions*** form (PERS-AESD-626) is sent to CalPERS based on the payment method:

1. If contributions are paid through Electronic Funds Transfer (EFT):
   - The ACES-generated AESD-626 can be electronically transmitted to CalPERS by using the "Transmit" link provided within the "View Totals" area of the Payroll File Transfer folder
   - ACES users who have a Supplemental Payroll Reporting form (AESD-624), a Notice of Adjustment (ACC-1520 or ACC-344), or a voucher to submit with their payroll file will **not** be able to electronically transmit their AESD-626 to CalPERS. Please **mail** or **fax** the AESD-626 with the AESD-624, ACC-1520, ACC-344, or voucher to Fiscal Services Division at 916-795-7901.
   - In case of emergency (for example, if your agency's computer system or the CalPERS network server is not functioning properly to allow electronic transmittals), you may print a copy of your AESD-626 form and fax it to Fiscal Services Division at 916-795-7901

2. If contributions are paid by check:
   - Send the check and **two** copies of the AESD-626 through the mail.
     NOTE: *Please remember to send payroll file via ACES the same day the summary and check are mailed*

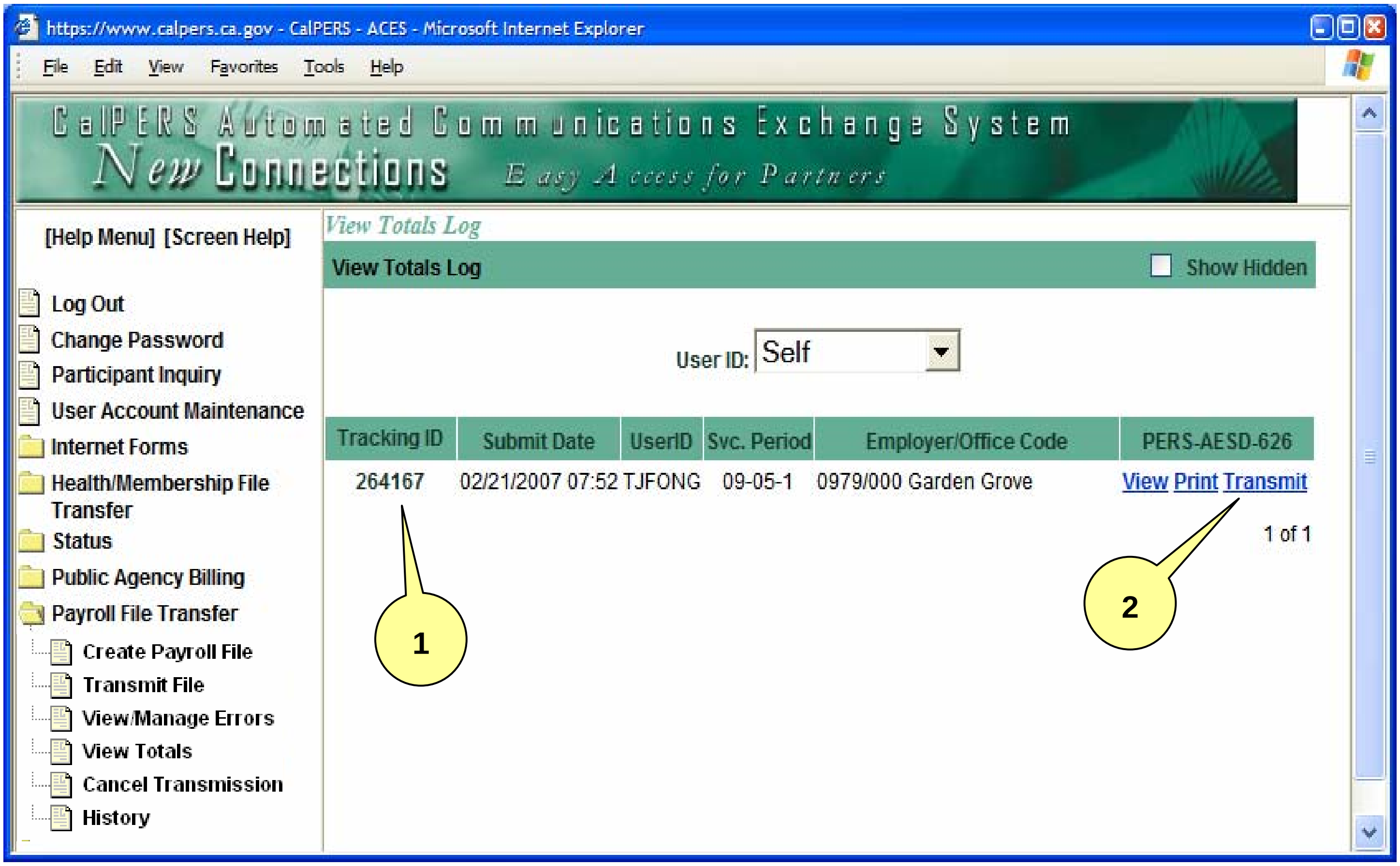
   - The CalPERS mailing address for check submittal is:
     - CalPERS
       400 Q Street
       P.O. Box 1982
       Sacramento, CA 95812-1982

     This address can also be found in the upper left-hand corner of the AESD-626 form.

Note: "**ACES**" must be written at the top of the Summary Report if it is **mailed** or **faxed** to CalPERS

Electronically Transmitting the Summary Report to CalPERS

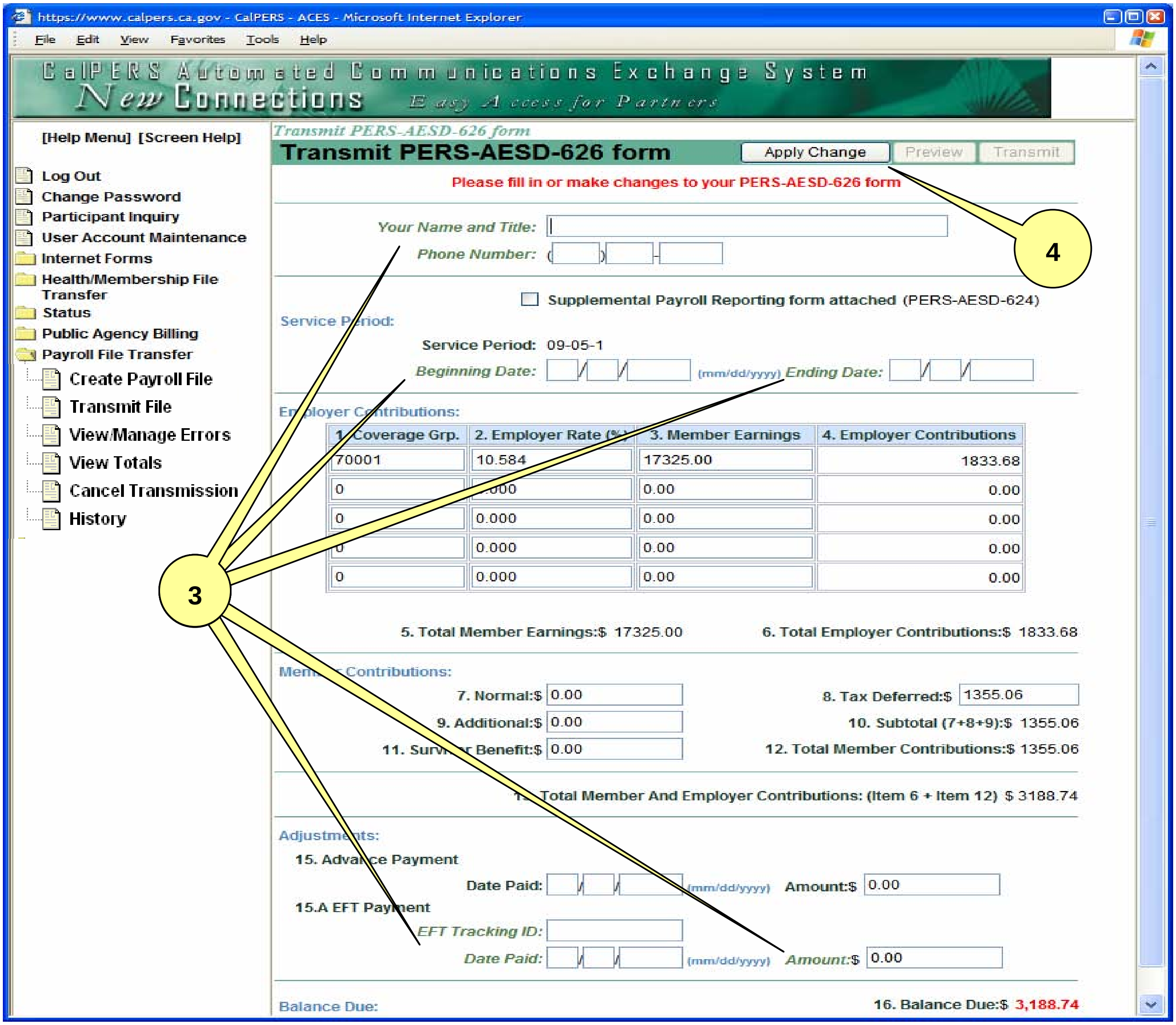
Once a payroll file successfully completes the validation process, ACES will calculate contribution totals based on the reported payroll data, and the totals should match your records.



1. Locate the payroll file **Tracking ID**.

2. Select **Transmit** to electronically submit the AESD-626 to CalPERS.
   NOTE: The *Transmit* function <u>only</u> applies to ACES users who submit their payment to CalPERS through Electronic Fund Transfer (EFT).

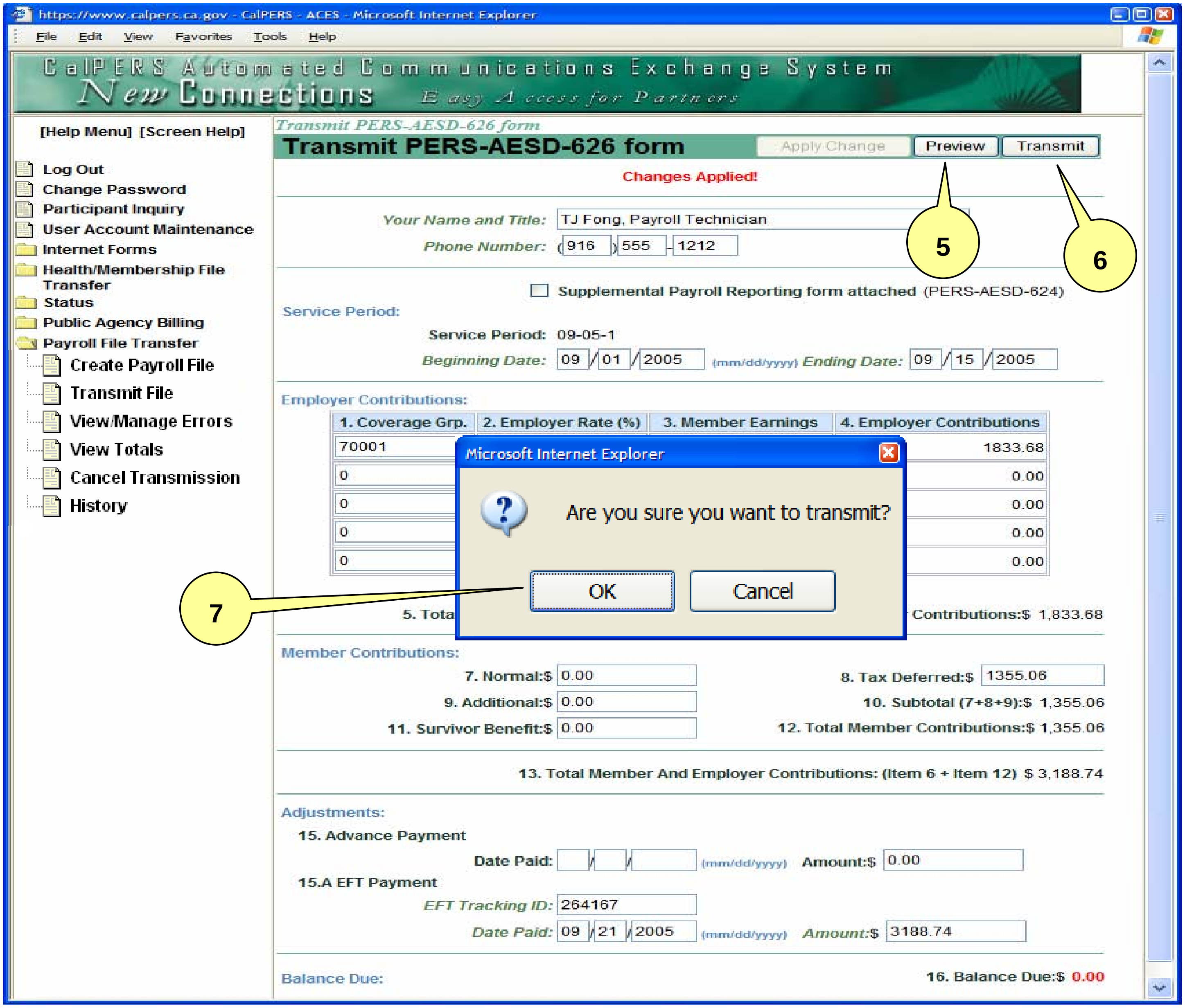
Electronically Submitting the Summary Report to CalPERS (cont.')



3. Complete the required fields (noted as *green, bold, italicized* fields):
   - Name and Title
   - Phone Number
   - Service Period Begin and End dates
   - EFT Tracking ID Number
   - Date Paid
   - Amount Paid

4. Select **Apply Change.**

Electronically Submitting the Summary Report to CalPERS (cont.')

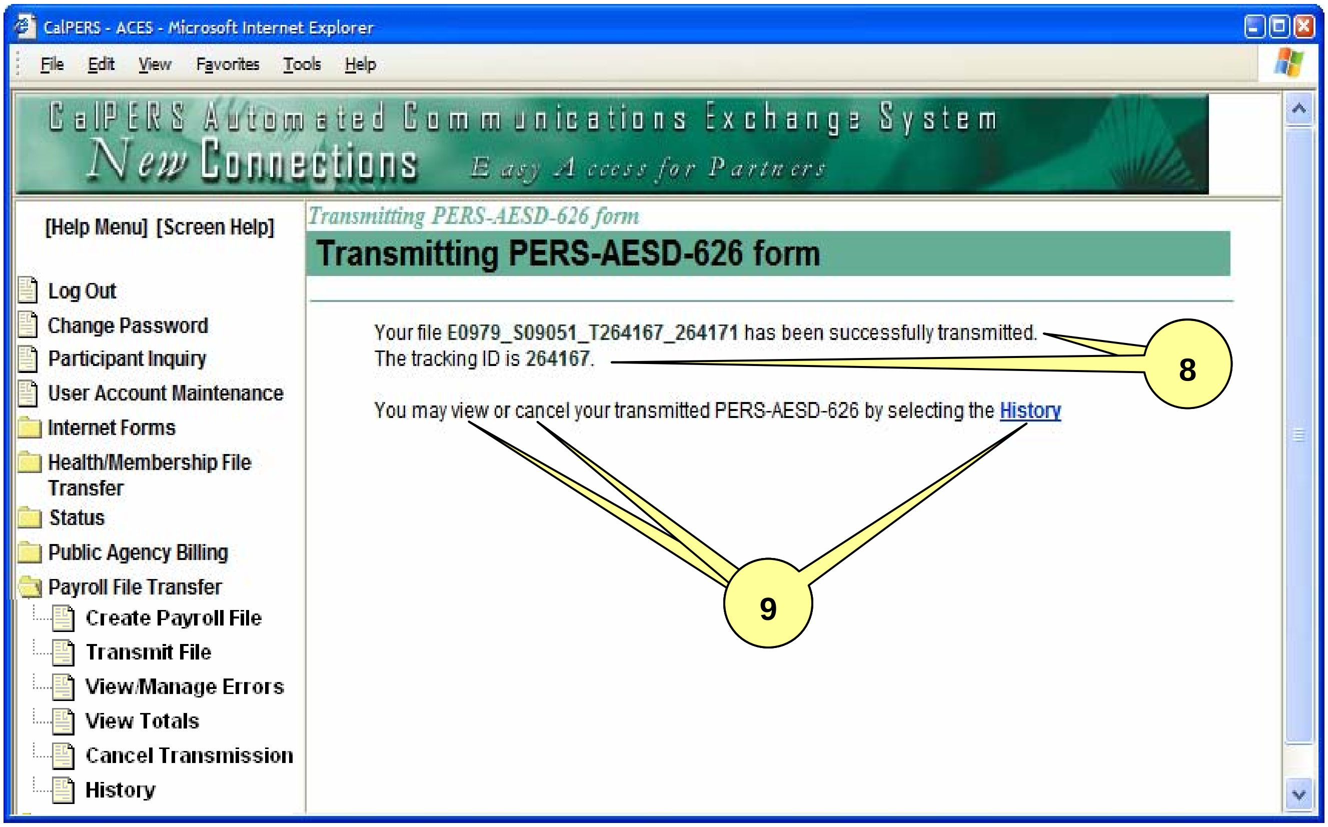


5. Select **Preview** (you can print the AESD-626 for your records at this time). You will able to view the information that was applied to the AESD-626 from the *green*, ***bold***, *italicized* fields.

6. Select **Transmit.**

7. Select **OK.**

Electronically Submitting the Summary Report to CalPERS (cont.')



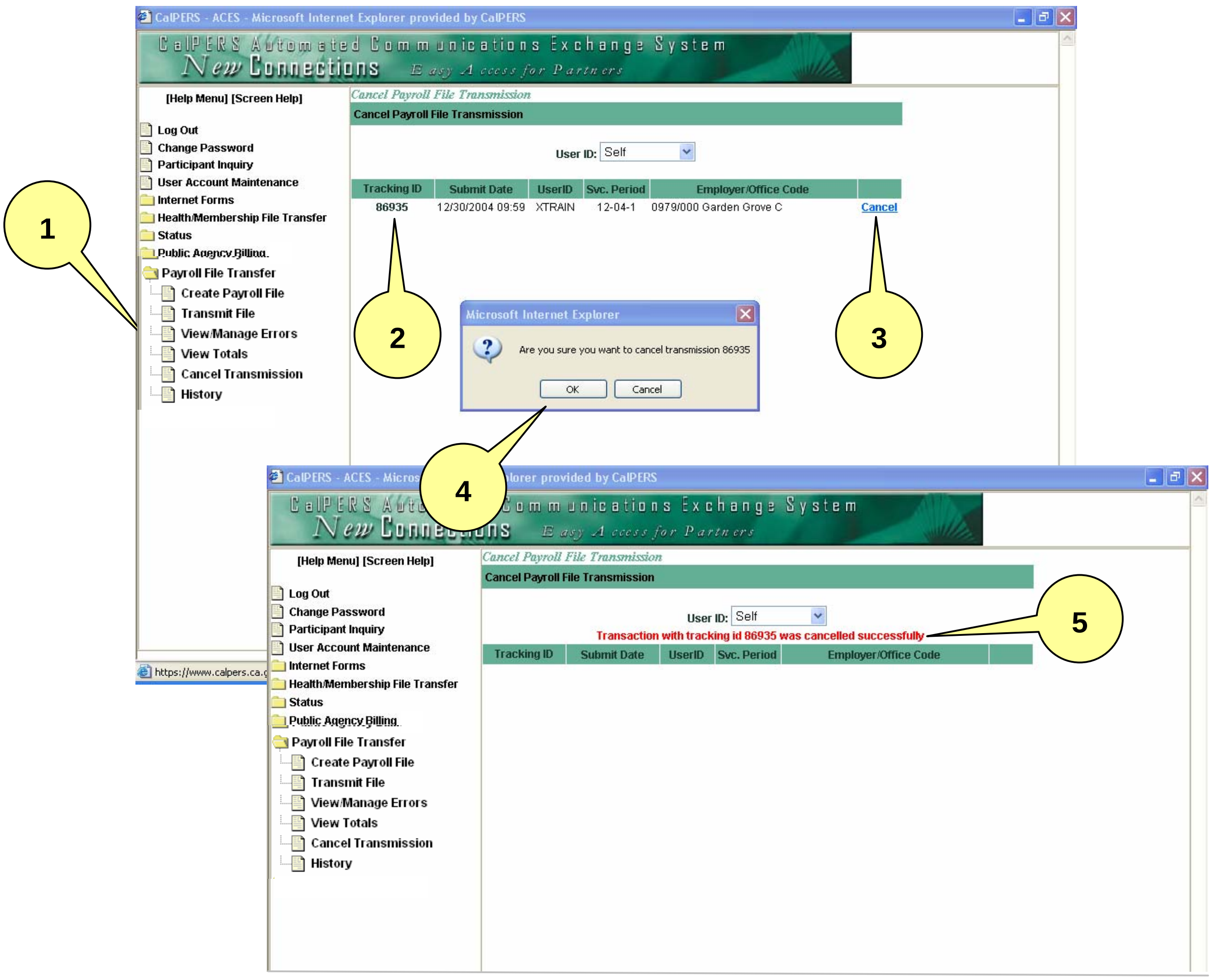
8. You will receive a confirmation message indicating that the PERS-AESD-626 form was successfully transmitted in conjunction with the payroll file tracking ID number.

9. You will have the ability to view or cancel your electronically transmitted PERS-AESD-626 form from the History link (see Page 176).

Cancel Transmission

A successfully verified payroll file can be cancelled prior to 3:00 p.m. the same business day submitted. At 3:00 p.m., files are picked up by CalPERS for processing and cannot be cancelled. Use ***Cancel Transmission*** to cancel a payroll file.

1. Select **Cancel Transmission.**
2. Locate the **Tracking ID** to cancel the appropriate file.
3. Select **Cancel**.
4. Select **OK**.

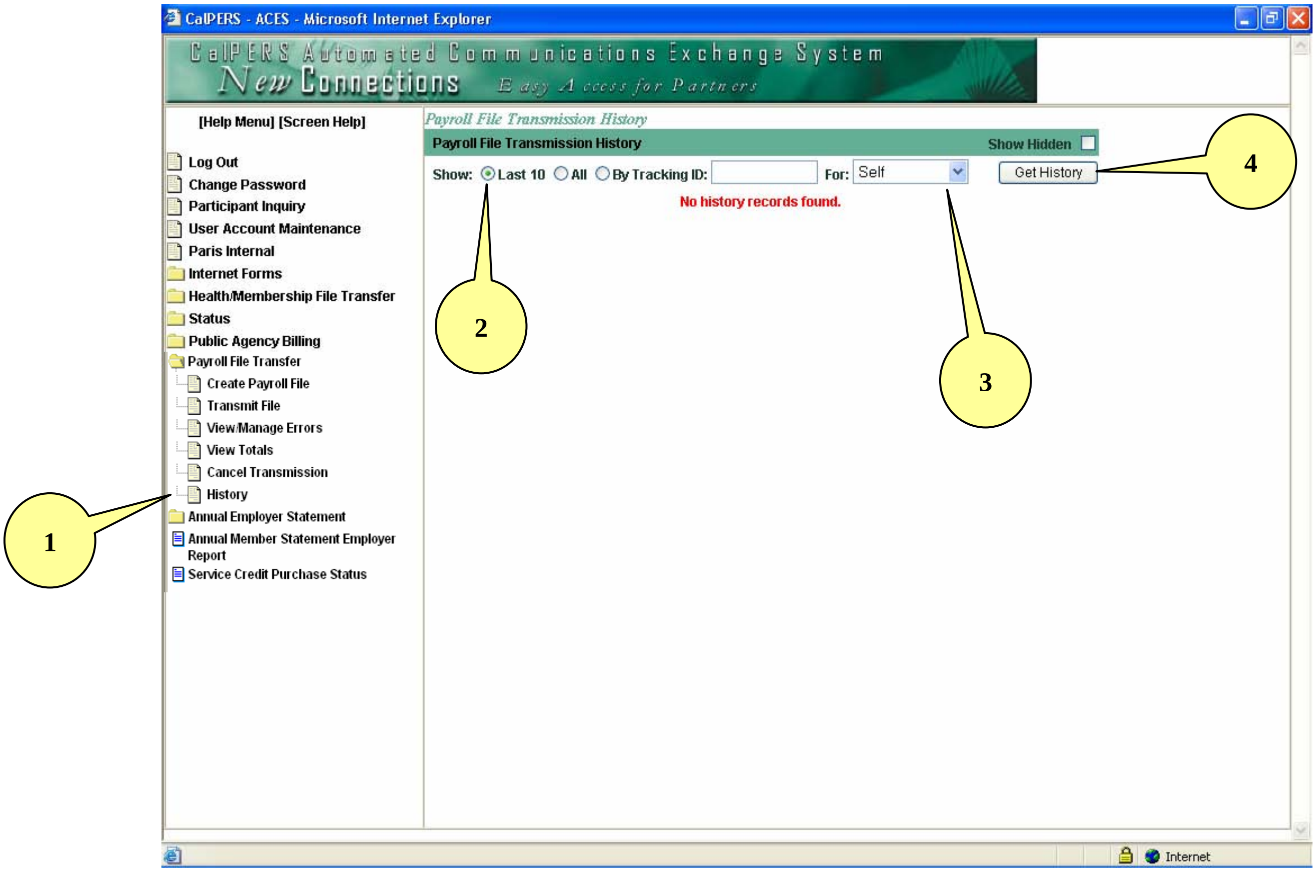


5. When successful, the following message appears:
   "**Transaction with tracking ID # *XX* was cancelled successfully**"

> **Note**: Failed payroll files can be cancelled at any time.

History

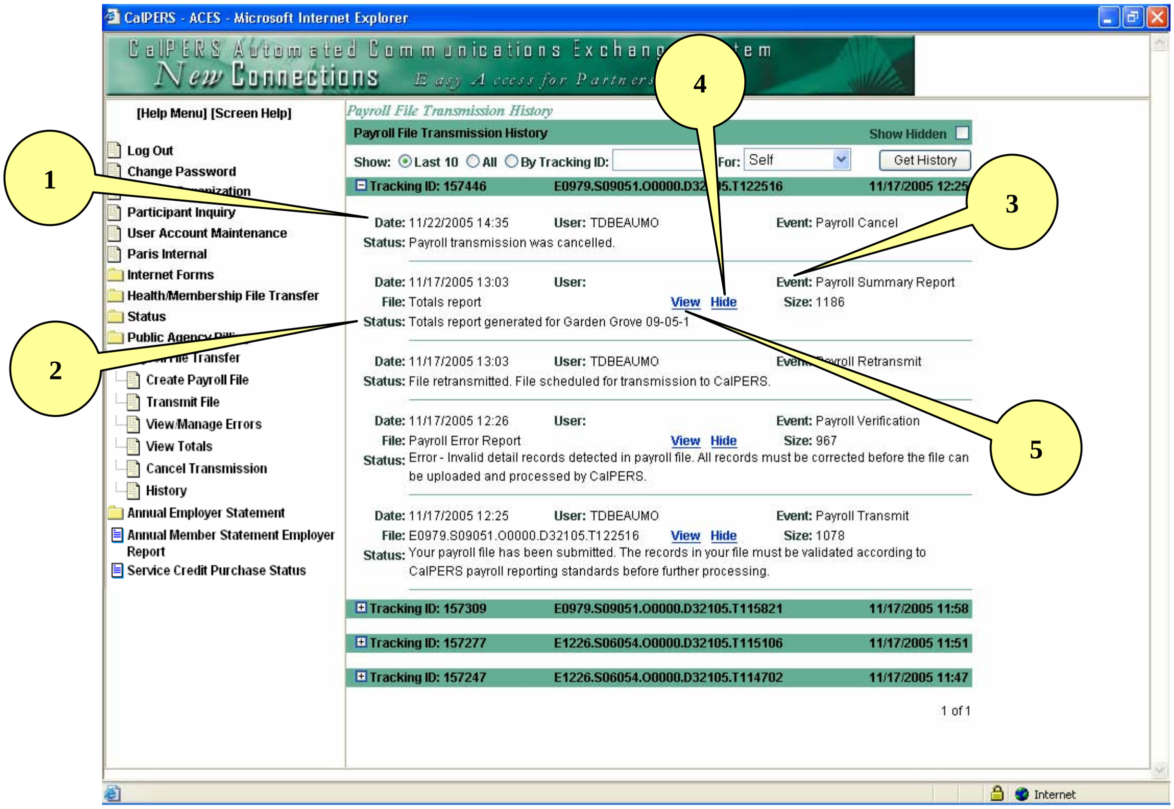
Payroll File Transmission History maintains payroll file status detail and associated reports. These records are retained in History for twelve months. Use the **History** to access ***Payroll File Transmission History.***



1. Select **History.**
2. Choose the **radio button** next to **Show:** for **Last 10, All** or **By Tracking ID** (enter tracking ID number) to view a specific payroll file transmission history.
3. Select the **drop-down button** to select Self, Organization, or a specific user ID. ACES will default to Self.
4. Select **Get History** to view file history.

History (cont.')

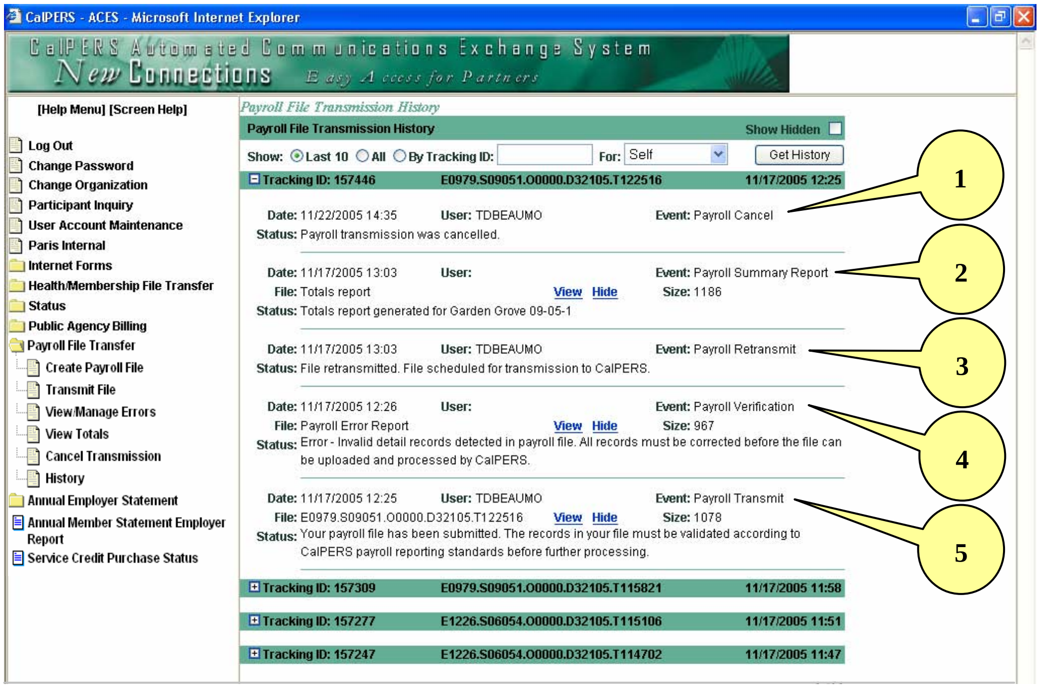
Payroll File Transmission History monitors the event history of all payroll files transmitted.



1. Date – Displays in most recent date and time order.
2. Status – Status of Action Performed.
3. Event – Action Performed; Payroll Transmit, Payroll Verification, Payroll Retransmit, Payroll Summary Report or Payroll Cancel.
4. Hide – Hide specific event from view.
5. View – Provides additional detail based on the event performed.

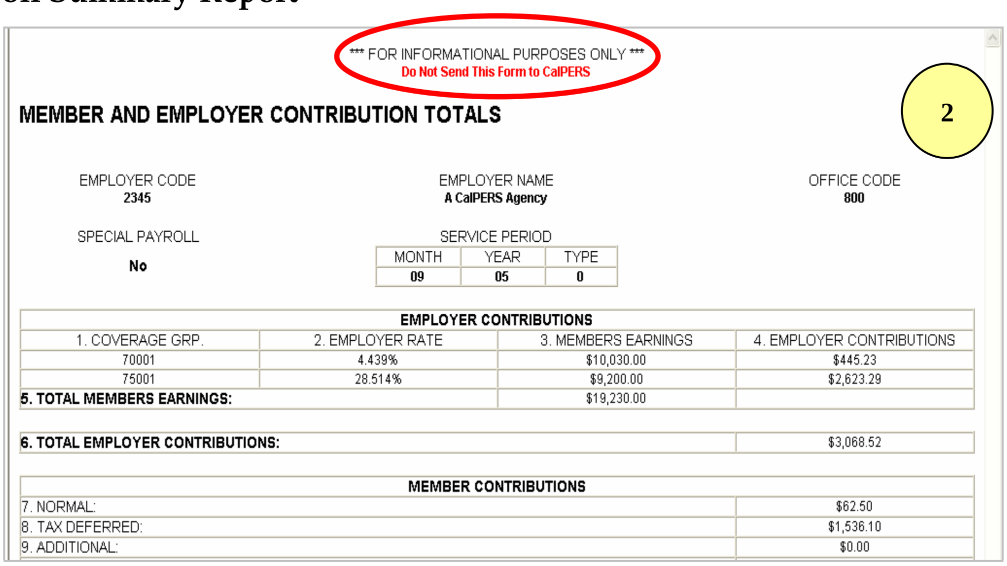
History (cont.')

The ACES user can **select View** for an associated text file.



1. Payroll Transmission Cancelled; No associated text file to **view**.
2. Payroll Summary Report; Select **View** to see Payroll Totals.
3. Payroll File Retransmit; No associated text file to **view**.
4. Payroll Error Report; Select **View** to see Error Report. (See next page.)
5. Payroll Source File; Select **View** to see payroll source text file. (See next page.)

Payroll Summary Report



*** FOR INFORMATIONAL PURPOSES ONLY ***
Do Not Send This Form to CalPERS

2

MEMBER AND EMPLOYER CONTRIBUTION TOTALS

EMPLOYER CODE	EMPLOYER NAME	OFFICE CODE
2345	A CalPERS Agency	800

SPECIAL PAYROLL: No

SERVICE PERIOD

MONTH	YEAR	TYPE
09	05	0

EMPLOYER CONTRIBUTIONS

1. COVERAGE GRP.	2. EMPLOYER RATE	3. MEMBERS EARNINGS	4. EMPLOYER CONTRIBUTIONS
70001	4.439%	$10,030.00	$445.23
75001	28.514%	$9,200.00	$2,623.29
5. TOTAL MEMBERS EARNINGS:		$19,230.00	
6. TOTAL EMPLOYER CONTRIBUTIONS:			$3,068.52

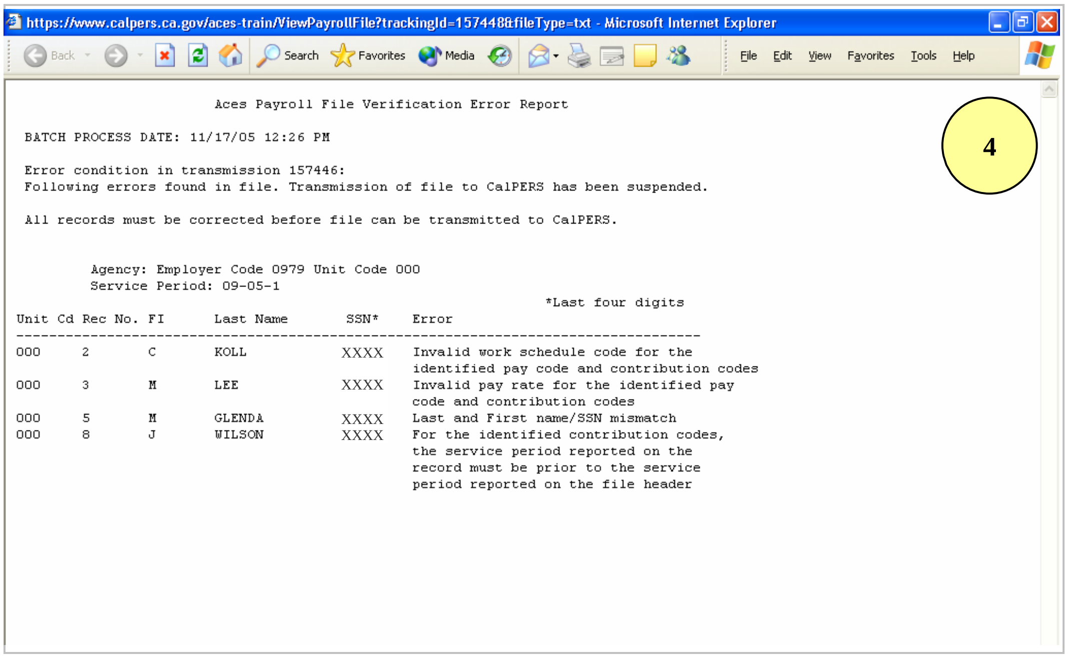
MEMBER CONTRIBUTIONS

7. NORMAL:	$62.50
8. TAX DEFERRED:	$1,536.10
9. ADDITIONAL:	$0.00

Please Note: The totals are for informational purposes only. The screen should NOT be printed and sent to CalPERS.

History (cont.')

Payroll Error Report

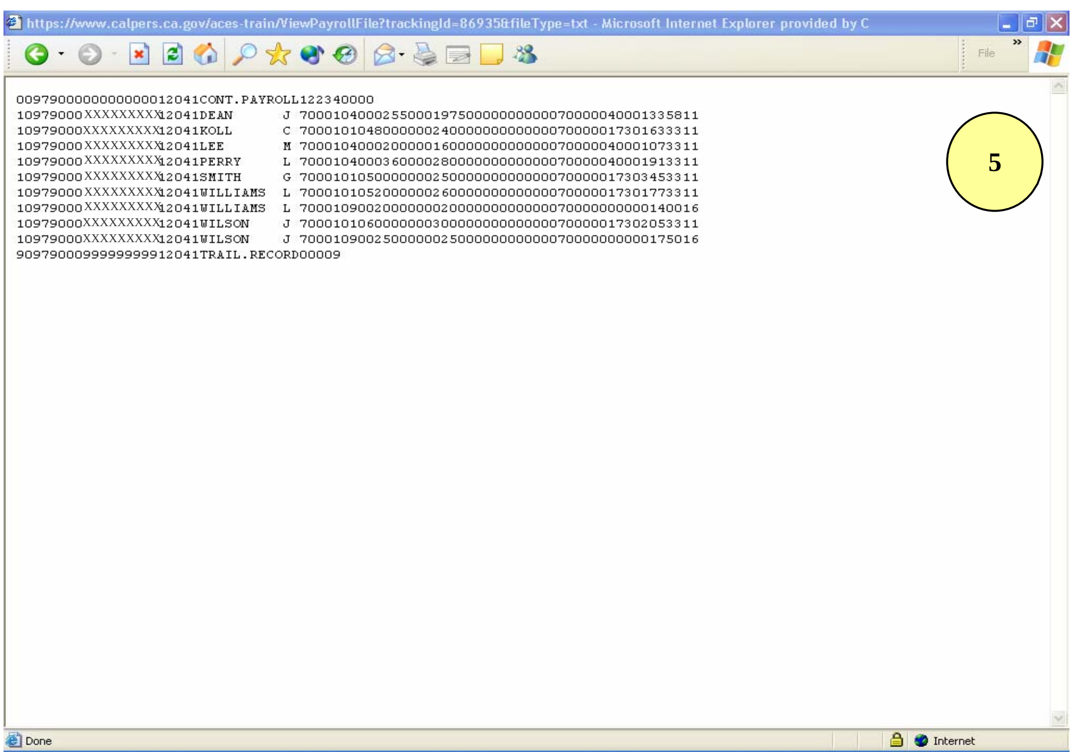

https://www.calpers.ca.gov/aces-train/ViewPayrollFile?trackingId=157448&fileType=txt - Microsoft Internet Explorer

```
                    Aces Payroll File Verification Error Report

 BATCH PROCESS DATE: 11/17/05 12:26 PM

 Error condition in transmission 157446:
 Following errors found in file. Transmission of file to CalPERS has been suspended.

 All records must be corrected before file can be transmitted to CalPERS.


        Agency: Employer Code 0979 Unit Code 000
        Service Period: 09-05-1
                                                     *Last four digits
Unit Cd Rec No. FI      Last Name       SSN*    Error
----------------------------------------------------------------------------------
000     2       C       KOLL            XXXX    Invalid work schedule code for the
                                                identified pay code and contribution codes
000     3       M       LEE             XXXX    Invalid pay rate for the identified pay
                                                code and contribution codes
000     5       M       GLENDA          XXXX    Last and First name/SSN mismatch
000     8       J       WILSON          XXXX    For the identified contribution codes,
                                                the service period reported on the
                                                record must be prior to the service
                                                period reported on the file header
```

4

The *ACES Payroll File Verification Error Report* provides the invalid Record Number and a brief description of the Error.

Payroll Source Text File


https://www.calpers.ca.gov/aces-train/ViewPayrollFile?trackingId=86935&fileType=txt - Microsoft Internet Explorer provided by C

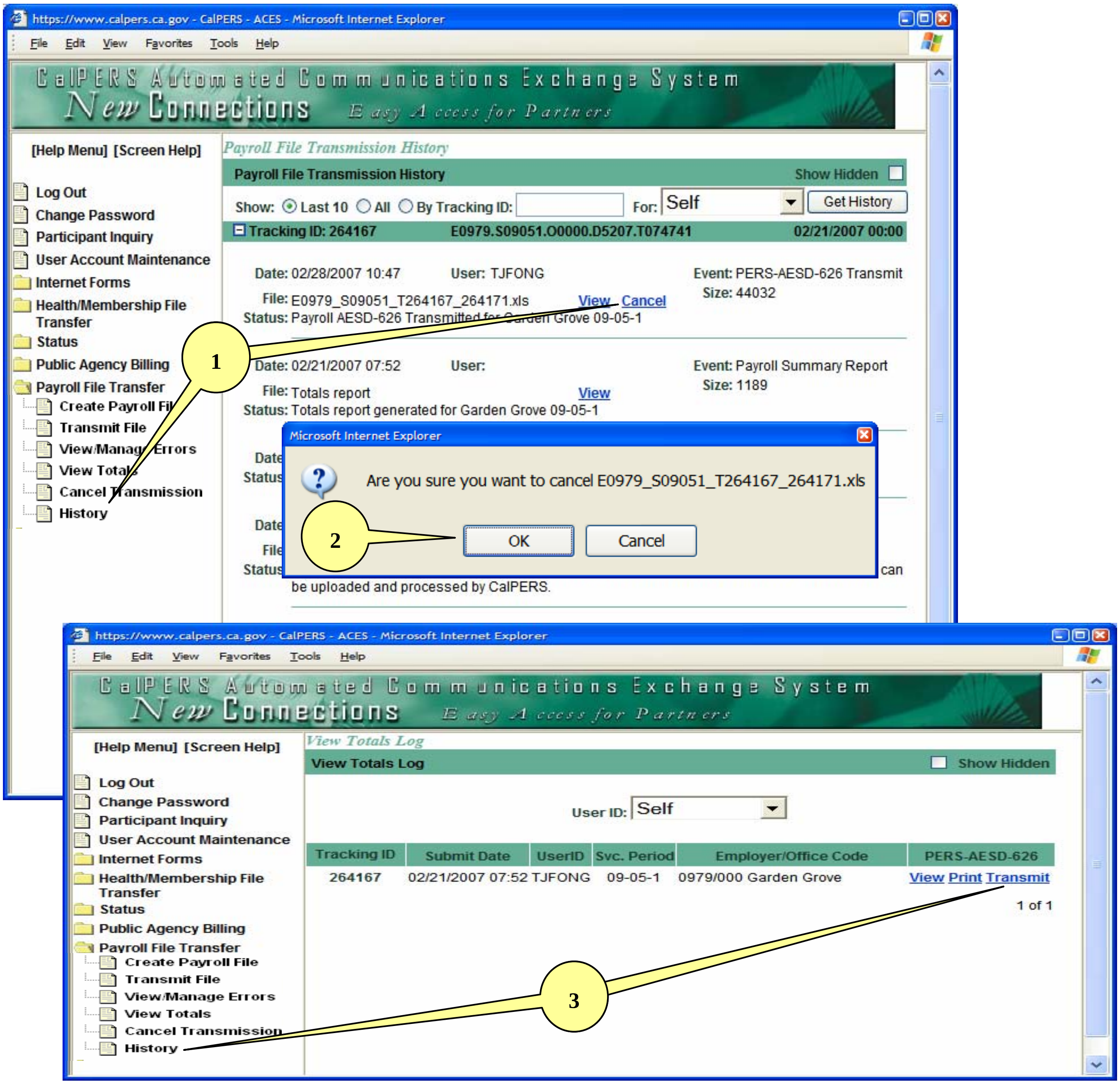
```
0097900000000000012041CONT.PAYROLL122340000
10979000XXXXXXXXX12041DEAN       J 7000104000255000197500000000000007000004000133581 1
10979000XXXXXXXXX12041KOLL       C 70001010480000002400000000000000700000173016333 11
10979000XXXXXXXXX12041LEE        M 70001040002000001600000000000000700000400010733 11
10979000XXXXXXXXX12041PERRY      L 70001040003600002800000000000000700000400019133 11
10979000XXXXXXXXX12041SMITH      G 70001010500000002500000000000000700000173034533 11
10979000XXXXXXXXX12041WILLIAMS   L 70001010520000002600000000000000700000173017733 11
10979000XXXXXXXXX12041WILLIAMS   L 70001090020000000200000000000000700000000001400 16
10979000XXXXXXXXX12041WILSON     J 70001010600000003000000000000000700000173020533 11
10979000XXXXXXXXX12041WILSON     J 70001090025000000250000000000000700000000001750 16
9097900099999999912041TRAIL.RECORD00009
```

Done   Internet

5

History (cont.')

Cancel Transmitted AESD-626



1. Users will have the ability to cancel the transmitted AESD-626 by selecting the tracking ID in the History folder and selecting Cancel.
2. Select **OK.**
3. ACES users will have the ability to transmit the summary report again by going to the View Totals folder. If a user does cancel the transmitted AESD-626, he/she will need to notify Gena Owen in the Fiscal Services Division at 916-795-7768 so the incorrect AESD-626 does not get processed.

ACES PAYROLL EDITS

COMMON ERROR DESCRIPTION & RESOLUTION

Error Message	Definition	Possible Resolution
Active PERS Appointment not found for the service period reported	The employee does not have an active CalPERS appointment with your agency for the period identified on the payroll record.	• Verify accuracy of SSN on payroll record • If SSN is correct on payroll record, process new PERS enrollment via ACES Internet Forms – Once updated and viewable on ACES, record can be saved • If SSN is incorrect on payroll record, view Participant Inquiry with correct SSN to determine if appointment exists – If appointment exists with the agency, correct the SSN on the payroll record and save; update your files – If appointment does not exist, process new PERS enrollment via ACES Internet forms. Once updated and viewable on ACES, record can be saved.
Last and first name/SSN mismatch	The first 3 letters of member's last name and first initial of first name identified on payroll record do not match the CalPERS database.	• Verify accuracy of SSN on payroll record • Compare name on payroll record against name in Participant Inquiry • If Participant Inquiry is correct, change name on payroll record and update your files • If payroll record is correct, process name change via Participant Change in Internet Forms. Once updated and viewable on ACES, record can be saved.

Error Message	Definition	Possible Resolution
Coverage Group reported on payroll record does not match coverage group on file at CalPERS	The coverage group identified on payroll record does not match the coverage group reflected in the CalPERS database for the reporting period.	• View coverage group in Participant Inquiry • If Participant Inquiry is correct, change the payroll record and update your files • If payroll record is correct, contact CalPERS at 888-CalPERS (888-225-7377) to update CalPERS database
For the identified contribution codes, the service period reported on the record must be the same as the service period reported on the file header	According to the contribution code reported (01 or 11), the service period for the payroll record must be the same as the file service period.	• If the payroll record is for a service period prior to the file header, change the contribution code • If the payroll record is for the current service period, change the service period on the payroll record to match the header
For the identified contribution codes, the service period reported on the record must be prior to the service period reported on the file header	According to the contribution code reported, the service period for the payroll record must be prior to the file service period.	• If the payroll record is for a service period prior to the file header, change the service period on the payroll record to be prior to the file header • If the payroll record is for the current service period, change the contribution code to 01 or 11
Invalid pay rate for the identified pay code and contribution codes	The pay rate reported is not applicable for the corresponding pay code (i.e. pay rate of $15.000 but monthly pay code 01).	• Verify accuracy and basis of pay rate (monthly, hourly or daily) • Verify accuracy of pay code (01, 04 or 08) based on reported pay rate
Invalid pay code for the identified contribution codes	The pay code reported is not applicable with the identified contribution code (i.e. pay code 09 with contribution code 01).	• When reporting special compensation with contribution code 06 or TDMC 16, the pay code must be 09 • When reporting normal earnings, the pay code must equal 01, 04 or 08 • When reporting contribution receivables with contribution code 04 or TDMC 14, the pay code must be 00

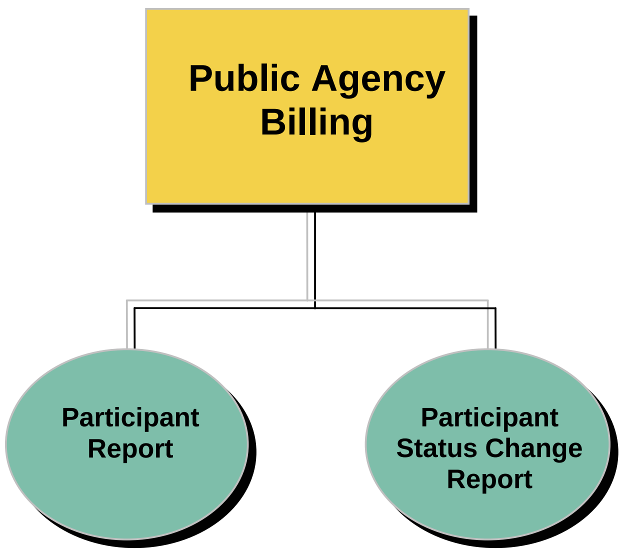
Error Message	Definition	Possible Resolution
Invalid pay rate	Pay rate reported is not an acceptable value.	• Pay rate must be a positive value
Invalid work schedule code for the identified pay code and contribution codes	The work schedule code reported is not applicable with corresponding pay code (i.e. work schedule code 400 with pay code 01. This calculates to full time equaling 400 hours/month).	• Verify that pay code (01, 04 or 08) is correct based on pay rate (monthly, hourly or daily) • If pay code is 01 (Monthly) then work schedule code must be between 147 and 260 • If pay code is 04 (Hourly) then work schedule code must be between 340 and 600 • If pay code is 08 (Daily) then work schedule code must be between 040 and 070
Pay rate and member earnings must be the same for special compensation	When reporting special compensation (contribution code 06 or TDMC 16), pay rate must equal the absolute value of member earnings.	• Verify that member earnings equal pay rate when reporting special compensation
Member earnings divided by pay rate generates excess service credit for this period	The service credit calculated based on the member earnings and pay rate reported, exceeds the maximum allowable for the service period.	• Verify that member earnings represent reportable compensation only (i.e., no overtime, lump sum payments, vacation cash-outs, etc.) • Verify that pay rate is the employee's full time rate regardless of reporting frequency
When Normal Member Contribution Code =02 or Taxed Deferred Member Contribution Code =12 Pay Rate and Member Earnings must be zero	When Normal Member Contribution Code is 02 or Taxed Deferred Member Contribution Code is 12, Pay Rate and Member Earnings has been reported.	▪ Verify that pay rate and member earnings are not being reported; these fields must be zero

Error Message	Definition	Possible Resolution
When Normal Member Contribution Code =04 or Taxed Deferred Member Contribution Code =14 Pay Rate and Member Earnings must be zero	When Normal Member Contribution Code is 04 or Taxed Deferred Member Contribution Code is 14, Pay Rate and Member Earnings has been reported.	▪ Verify that Pay Rate and Member Earnings are not being reported; these fields must be zero
One or more agencies contained in PERSFILE.txt have records from another payroll file submissions awaiting verification. The file cannot be submitted until this other data has been processed.	A previously transmitted file for this employer is awaiting verification. Another file cannot be sent until the verification is complete and all records are determined to be valid.	• Await e-mail notification indicating the status of the previous file verification • If verification was successful, then transmit next file • If verification failed, correct invalid records via View/Manage Errors in Payroll File Transfer folder • Re-transmit file once all invalid records are correct • Transmit next file
One or more agencies contained in PERSFILE.txt have invalid records from previous payroll file submissions awaiting correction and/or re-transmission. This file cannot be submitted until the other data has been processed.	A previously transmitted file for this employer contains outstanding invalid records. All invalid records must be corrected and the file retransmitted before another payroll file can be sent.	• Correct invalid records via View/Manage Errors in Payroll File Transfer folder • Re-transmit file once all invalid records are correct • Transmit next file
You have changed the member earnings, do you need to modify the member normal contribution amount and/or tax deferred contribution amount?	Employer has made a change to the member earnings and has not changed the member normal contributions amount and/or the tax deferred contribution amount.	• User will change the member normal contributions amount and/or the tax deferred contribution amount or leave as is.
Transaction with Tracking ID XXXXX was previously re-transmitted by another user. Please select History for details.	Same file is retransmitted twice by separate individuals.	• User will select History to verify if the file was previously transmitted by another user.
When member normal contribution amount and tax deferred member contribution amount = 0, the member normal contribution code should be 01 or 03.	According to the member contribution code reported, 00 and the member normal contribution = 0 and taxed deferred contribution amount = 0 and taxed deferred code is 11/13.	• User will have to change the member contribution code to 01/03 when member contributions = 0 and tax deferred member contribution amount =0.

PUBLIC AGENCY BILLING

The Public Agency Billing folder will allow the option to view all Participants or Participants based on status change for a given coverage period:

- **Participant Report** - Roster of Participants who have health coverage under CalPERS
- **Participant Status Change Report** – All changes to a Participant's health coverage within a specified time frame



The Public Agency Billing feature within ACES:

- Is written for Employers to reconcile Participant health premiums on a monthly basis
- Is an inquiry-only system
- Contains Participant information extracted nightly from the CalPERS health and membership database
- Allows users to view information processed by CalPERS the previous day

Accessing Public Agency Billing

Account Administrators are responsible for granting Public Agency Billing access to themselves and/or other users via the User Account Maintenance function in ACES (see the Account Administrator section for details).

Security Rules for Employers

Employers can access information as follows:

- Only the current Employer can view a Participant's Health and Membership record
- Only the Employer from whom the Participant retired can view a Retiree's Health and Membership enrollment record

Public Agency Billing: Frequently Asked Questions

I reconcile bills for several agencies. How will I be able to do this in the Public Agency Billing System?

If your agency is one that reconciles the health insurance bill on behalf of another agency, you can retrieve the other agency's detailed information in the Participant Report and Participant Status Change Report within the Public Agency Billing folder. From the **Organization Name** field, click on the drop-down arrow and select the desired agency. Then follow the steps from the Participant Report and Participant Status Change Report pages of the ACES User Guide. If the agency's name is not in the drop-down list, please contact us at **888 CalPERS** (or **888**-225-7377).

What is the meaning of "As Of Date" in the Participant Report?

This reflects health enrollments updated by CalPERS as of the date shown.

What should I enter for the "As Of Date" in the Participant Report?

The "As Of Date" defaults to the current date. Change the date to the first day of the billing invoice month (e.g., If reconciling the January 2006 invoice, enter 01/01/2006).

What is the meaning of "Start Date" and "End Date" in the Participant Status Change Report?

This date range shows when the coverage change was updated to the CalPERS database. The date range cannot be greater than two months.

When selecting "Get Data," why does a "No data found" message appear?

The Retirement System field needs to be changed to "PERS," "Other Retirement," or "STRS." If the "As Of Date" is for a future month, that month's billing may not as yet be available.

When viewing the reports in Public Agency Billing, why does "N/A" appear in the Plan and Premium column?

There is a future transaction pending and no money has been charged.

How do I know if an adjustment was done on my Public Agency Billing Invoice?

Retroactive adjustments will be displayed in the Participant Report and the Participant Status Change Report. Adjustments will appear with the member name and SSN more than once. Click on the SSN of the participant to access Participant Inquiry to review Deductions tab.

I'm currently using ACES. What is the deadline to submit Health Benefit Enrollment Forms (HBD-12's) in order for them to reflect on the next bill?

If you are using ACES to submit your HBD-12s AND you are a school district, all transactions must be updated and viewable on ACES as of the last business day of every month. For example, any transaction that is updated and viewable on ACES in the month of July will be reflected on the August 15th bill (for the September coverage month). If the deadline is missed, retroactive adjustments will be reflected on the following bill.

If you are using ACES to submit your HBD-12s AND you are NOT a school district, all transactions must be updated and viewable on ACES by the 11th of each month. For example, any transaction that is updated and viewable on August 11th will be reflected on the August 15th bill (for the September coverage month). If the deadline is missed, retroactive adjustments will be reflected on the following bill.

I'm not currently using ACES. What is the deadline to submit Health Benefit Enrollment Forms (HBD-12s) in order for them to reflect on the next bill?

Please submit HBD-12s by mail to the CalPERS Health Benefits Office in a timely manner so that we may promptly process your changes.

I'm not currently using ACES Internet Forms or ACES File Transfer. With the Public Agency Billing System, how do I go about reporting Participants that are being added, terminated, or changing plans, etc.?

- For health enrollment changes such as add, change, or delete, continue to process an HBD-12 form
- For Non-PERS or STRS member status changes, please complete and submit a Health Plan Enrollee Information or Employment Status Changes form, HBD-86, to CalPERS. To obtain an HBD-86 form, please call the CalPERS Agency Request Line at 916-795-1493 or visit the CalPERS Web site: http://www.calpers.ca.gov/eip-docs/employer/er-forms-pubs/forms/pers-hbd-86.pdf . This form is for employers to modify demographic information reported to CalPERS such as name, address, SSN, or birth date changes. The HBD-86 form should also be used to report death or employment status changes such as separations from employment, temporary separation, **continuation of health coverage into retirement**, or returns from leave of absence.
- For PERS members, please continue to process the AESD-1 (Member Action Request) form to make appointment status, name, or address changes
- For Retirees with CalPERS Health Benefits, CalPERS is the Health Benefits Officer. Any changes can be made directly by the Retiree by contacting CalPERS at **888 CalPERS** (or **888**-225-7377).

NOTE: All documents should be mailed to CalPERS in a timely manner to ensure billing accuracy.

I currently use ACES Internet Forms or ACES File Transfer. For the Public Agency Billing System, will there be any changes in how I process my transactions online?

No, you should continue to follow the procedures outlined in the ACES User Guide.

If I have a Participant retiring that has Non-PERS or STRS retirement, how do I report it?

Please complete and submit an HBD-86 form to CalPERS in order for benefits to continue into retirement.

NOTE: All documents should be mailed to CalPERS in a timely manner to ensure billing accuracy.

When will our Public Agency Billing Invoice be mailed?

Invoices will be generated on the 15th of each month, or the next business day if the 15th falls on a weekend or holiday, and mailed the following business day. Your payment still must be received by the 10th of the following month and must be paid as billed.

I'm using Internet Explorer 6.0. When I clicked the "Printer Friendly Version" button, ACES downloaded information from a previous query. How can I fix this?

You need to alter your web browser's configuration to retrieve the most recent data. Please refer to Page 10 for instructions.

Will Pop-up Blockers affect the "Printer Friendly Version" function in ACES?

Pop-up blockers may prevent this feature of ACES from operating properly and must be temporarily disabled to allow proper operation. Hold down the "**Ctrl**" button on your keyboard while clicking on the "Printer Friendly Version" function to temporarily disable an installed Pop-up Blocker.

Why are the premiums due on my Public Agency Billing Invoice different than the ACES Public Agency Billing query?

When viewing your monthly Public Agency Billing Participant Report in ACES, it is important that the As Of Date entered is the same as the coverage month. Otherwise, your premium information will be different. Example: If the coverage month was August 2006, change the As Of Date to 08/01/2006.

Will I still be able to change my Public Agency Billing Invoice?

No, you must pay as billed.

What if I think the amount billed is not accurate?

You should not change the amount due on your Public Agency Billing Invoice. Your Public Agency Billing Invoice is generated based on the health enrollment information in the CalPERS database as of the date the invoice was generated. If any changes were made to a member's account after the billing invoice was generated, they will show on your next Public Agency Billing Invoice with an adjustment, if necessary.

What if I have overpaid the amount due on the Public Agency Billing Invoice?

Each billing invoice that is created generates an account receivable. If you overpay the amount due for any month, it will be reflected on the next month's billing invoice.

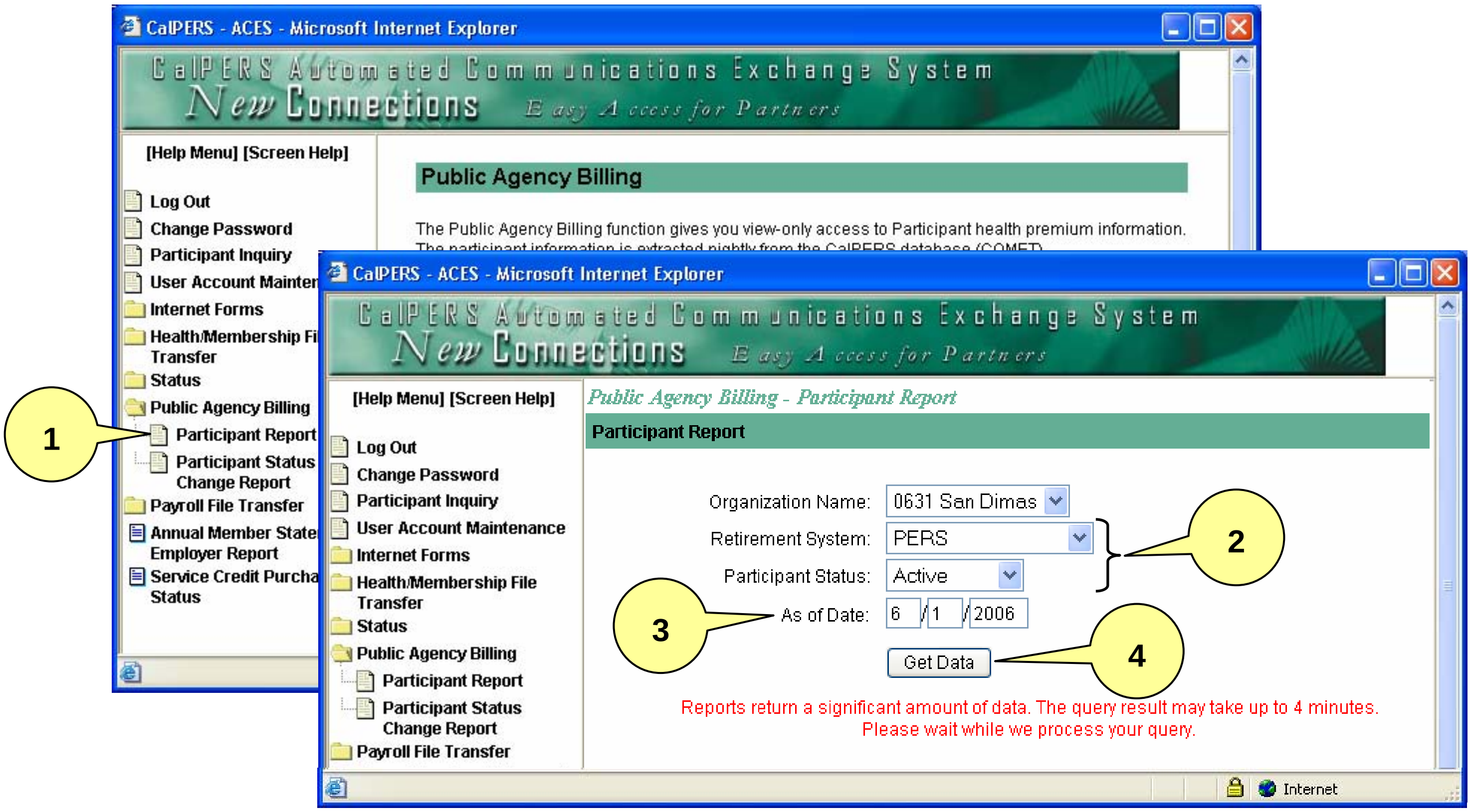
What if I have underpaid the amount due on the Public Agency Billing Invoice?

If you underpay the amount due, your account will be considered delinquent. The underpayment will show as a balance due on the next month's Billing Invoice. Any underpayment you submit could result in late fees and may initiate the agency termination process.

Participant Report

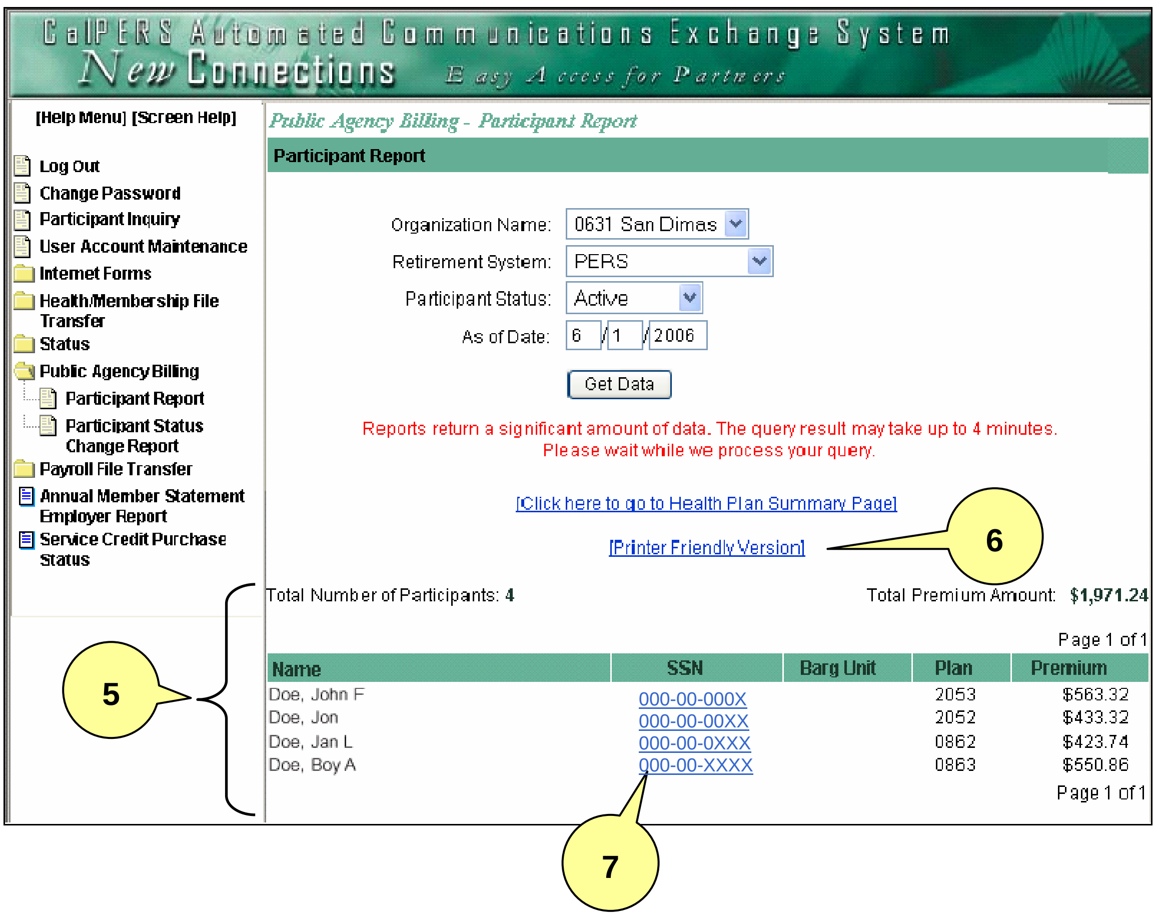
Participant Report includes all Participants with health coverage benefits as of a specific date.

1. Select the Public Agency Billing folder and click Participant Report.

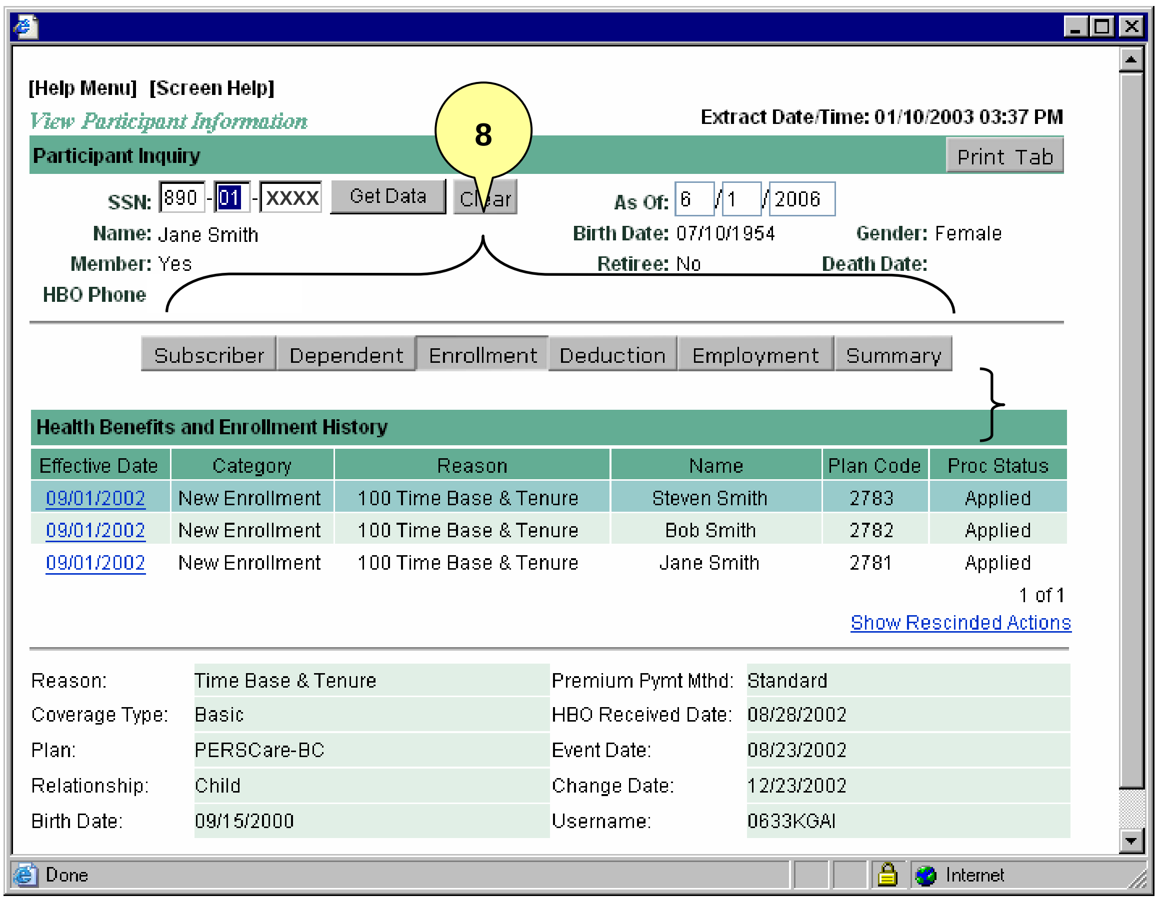


2. From the drop-down menu, select:
   - **Retirement System** (PERS, STRS, Other Retirement, Judges Retirement or Court Participants)
   - **Participant Status** (Active or Retired)
3. Enter the **As of Date**. This reflects health enrollments updated by CalPERS as of the date shown. If reconciling the monthly health premium bill, the beginning date of the billing cycle should be entered. (i.e., if reconciling the June 2006 bill, the As Of Date should be 6/01/2006.)
4. Click **Get Data**.

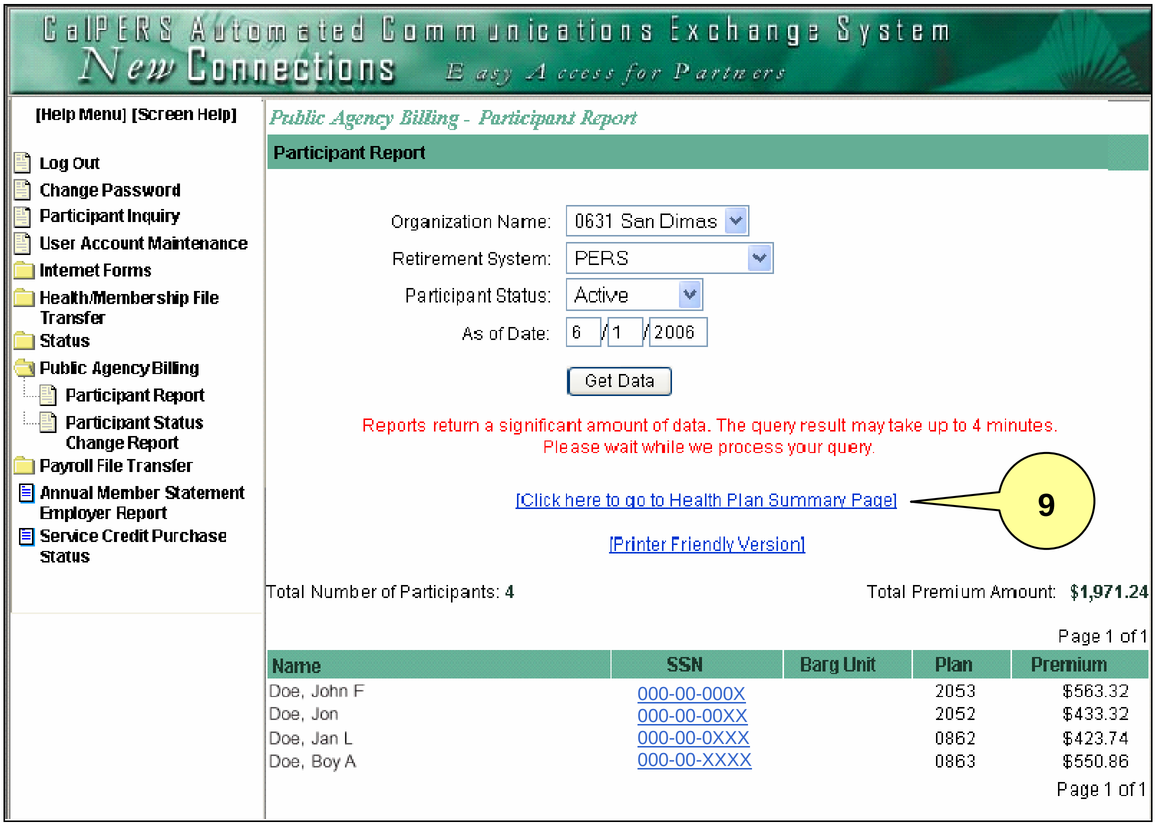
5. ACES will retrieve the information based on the selection criteria and display the following:
   - Total Number of Participants
   - Total Premium Amount
   - Information on individual Participants
6. Click Printer Friendly Version to access this information in an Excel spreadsheet.
7. Click the Participant's SSN to obtain detailed information on the individual Participant. This will link you to the ACES Participant Inquiry Enrollment tab.



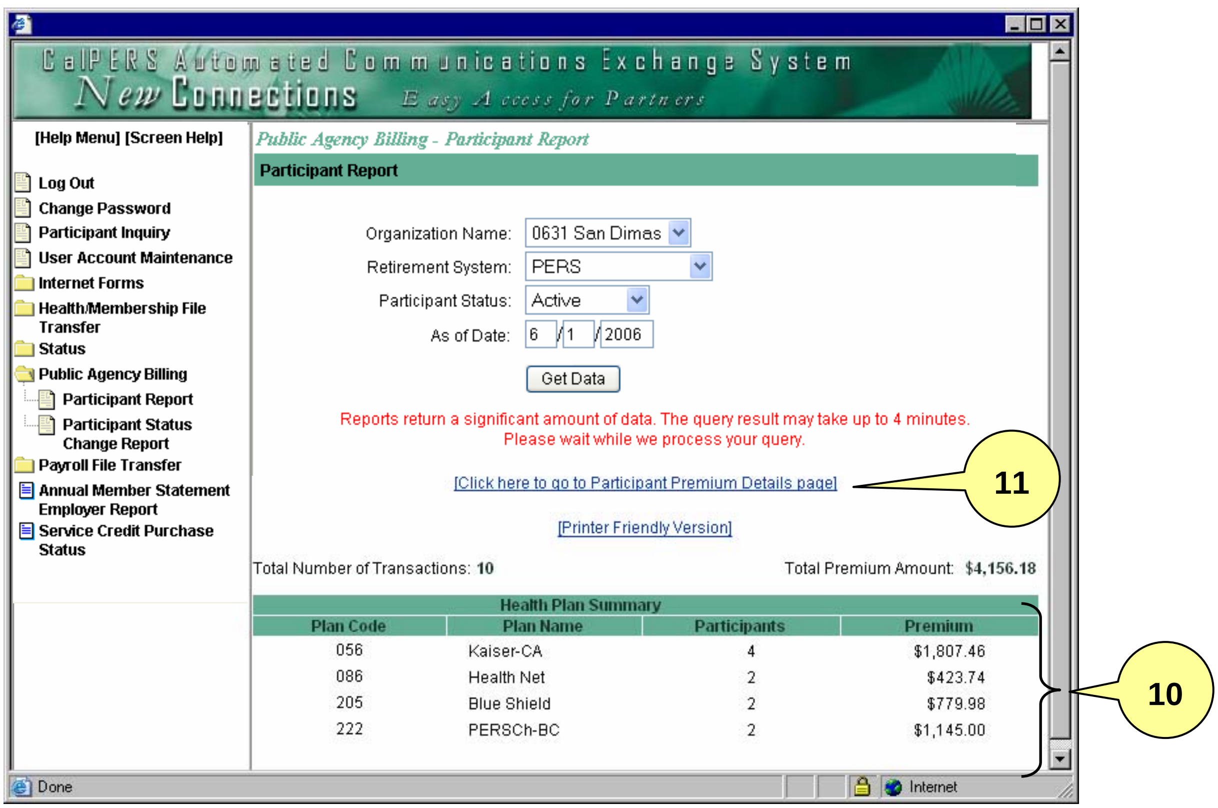
8. After clicking an SSN, the next page will provide detailed information on the Participant. Clicking on the various tabs will give you more details, including:
   - Subscriber information
   - Dependent information
   - Enrollment information
   - Deduction information
   - Employment information
   - Summary information



9. To view the Participant Health Plan Summary page, click: Click here to go to Health Plan Summary Page.



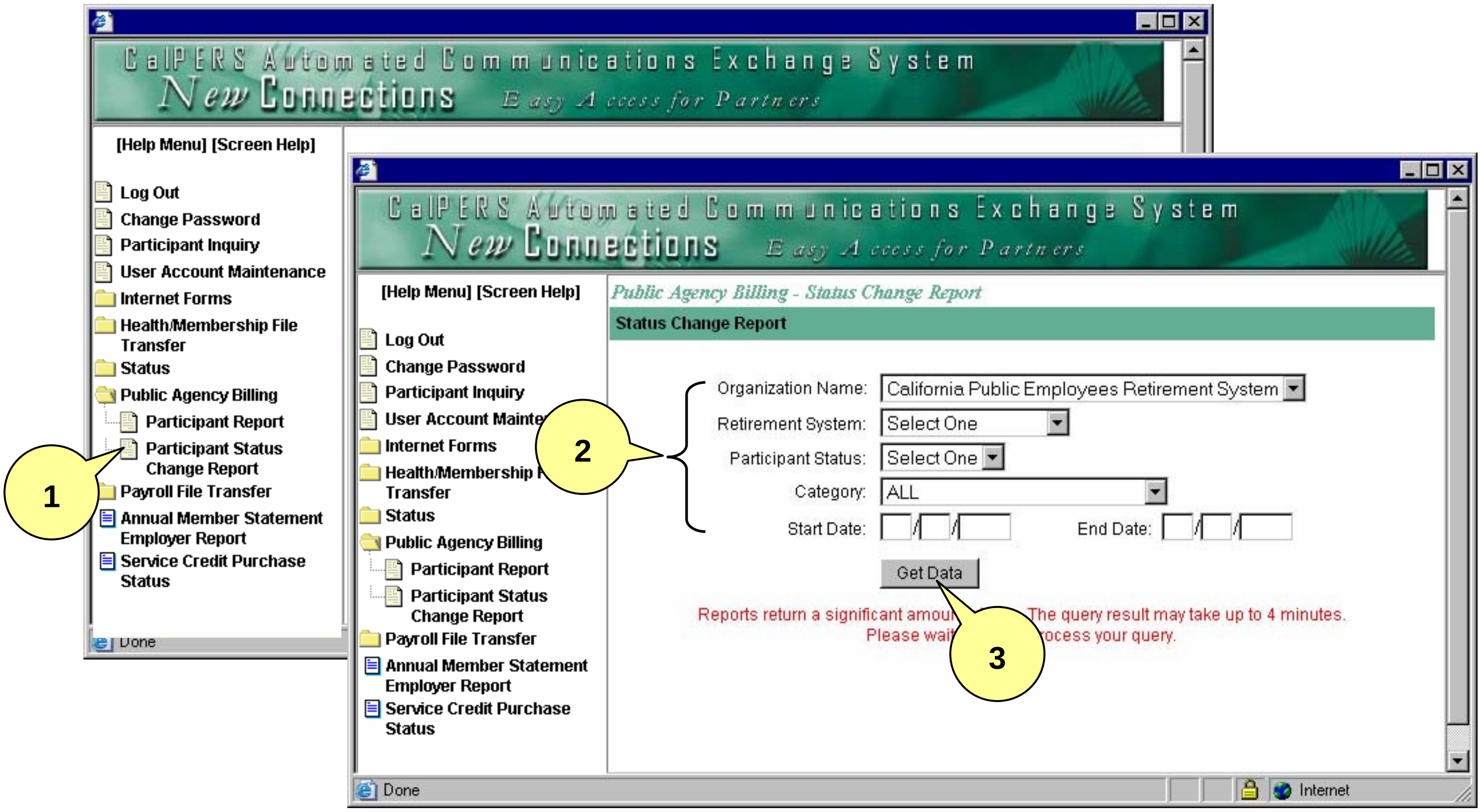
10. The screen below displays the Participant Health Plan Summary, which includes a summary of the following:
    - Total Transactions (number of regular enrollment deductions and/or adjustments)
    - Total Premium Amount
    - Plan Codes
    - Plan Names
    - Number of Participants (Health Plan line items of regular enrollment deductions and/or adjustments)
    - Premiums
11. To return to the previous screen, click: Click here to go to Participant Premium Details page.



Participant Status Change Report

Participant Status Change Report includes any status changes made to a Participant's health coverage benefits for a specific timeframe.

1. Select the **Public Agency Billing** folder and click **Participant Status Change**



2. From the drop-down menu, select:

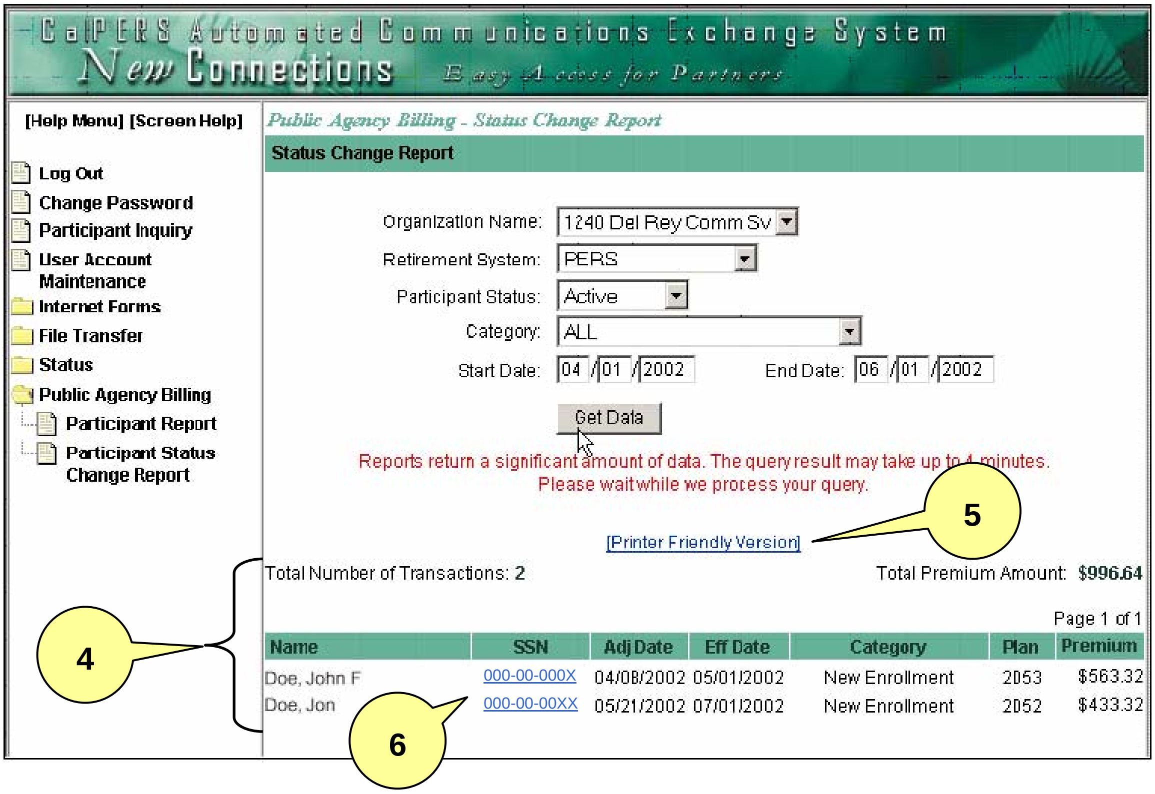
- **Organization Name**
- **Retirement System** (PERS, STRS, Other Retirement, Judges Retirement or Court Participants)
- **Participant Status** (Active or Retired)
- **Category** (All, New Enrollment, Add Dependent, Delete Dependent, Change Plan, Cancellation, Change Coverage Type, Premium Payment Method Change or Continued Eligibility)
- Enter the **Start Date** and **End Date** of the coverage changes

NOTE: This is the time frame in which transactions were updated to the CalPERS database. The date range between the start date and the end date cannot exceed two months.

3. Click **Get Data**.

4. The system will retrieve the information based on the selection criteria and display the following:
   - Total Number of Transactions
   - Total Premium Amount
   - Information of changes to the individual Participants

NOTE: If a Participant's name appears multiple times, this indicates an adjustment was done on the Participant.



5. Click Printer Friendly Version to access this information in an Excel spreadsheet.

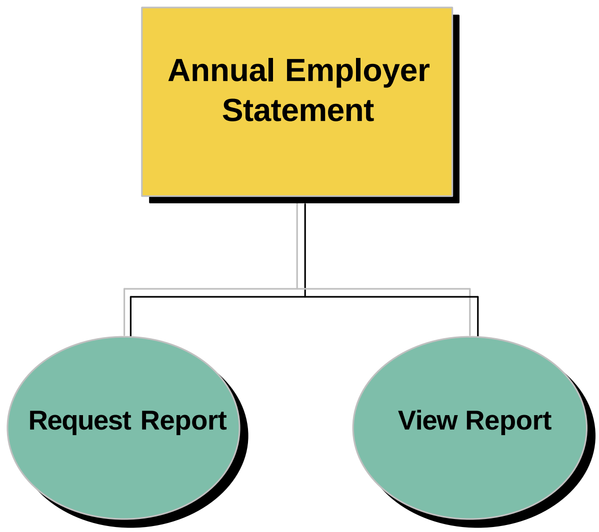
6. Click the Participant's SSN to obtain detailed information on the individual Participant. This will link you to the ACES Participant Inquiry Enrollment tab.

GLOSSARY OF TERMINOLOGY	
COLUMN NAME	**DEFINITION**
Name	Name of the Participant
SSN	Participant's social security number. Click on the Participant's SSN to view the enrollment screen in Participant Inquiry.
Adj Date	Adjustment date is the change date of the transaction
Eff Date	Effective date is the date the current enrollment status was effective
Category	The reason group heading used to identify the transaction reason type
Barg Unit	Bargaining Unit is the employee organization or bargaining unit designated in an agency resolution. Zero is a valid code for those agencies that do not have multiple bargaining units.
Plan	Health plan code
Premium	Participant's premium for health plan
FUNCTION BUTTONS	**DEFINITION**
Get Data	Searches for and displays the Participant's records based on the retirement system, Participant status, category, and the start and end date, according to the user's security access rights
Printer Friendly Version	Displays information in an Excel spreadsheet

Annual Employer Statement

The Annual Employer Statement is a synopsis of an agency's CalPERS retirement contract. The statement lists data unique to each agency such as the agency's employer code, coverage groups, employee and employer rates, and optional benefits.

Only public agency and school employers will receive this statement. State agencies do not receive the Annual Employer Statement.



Information on the Annual Employer Statement includes:

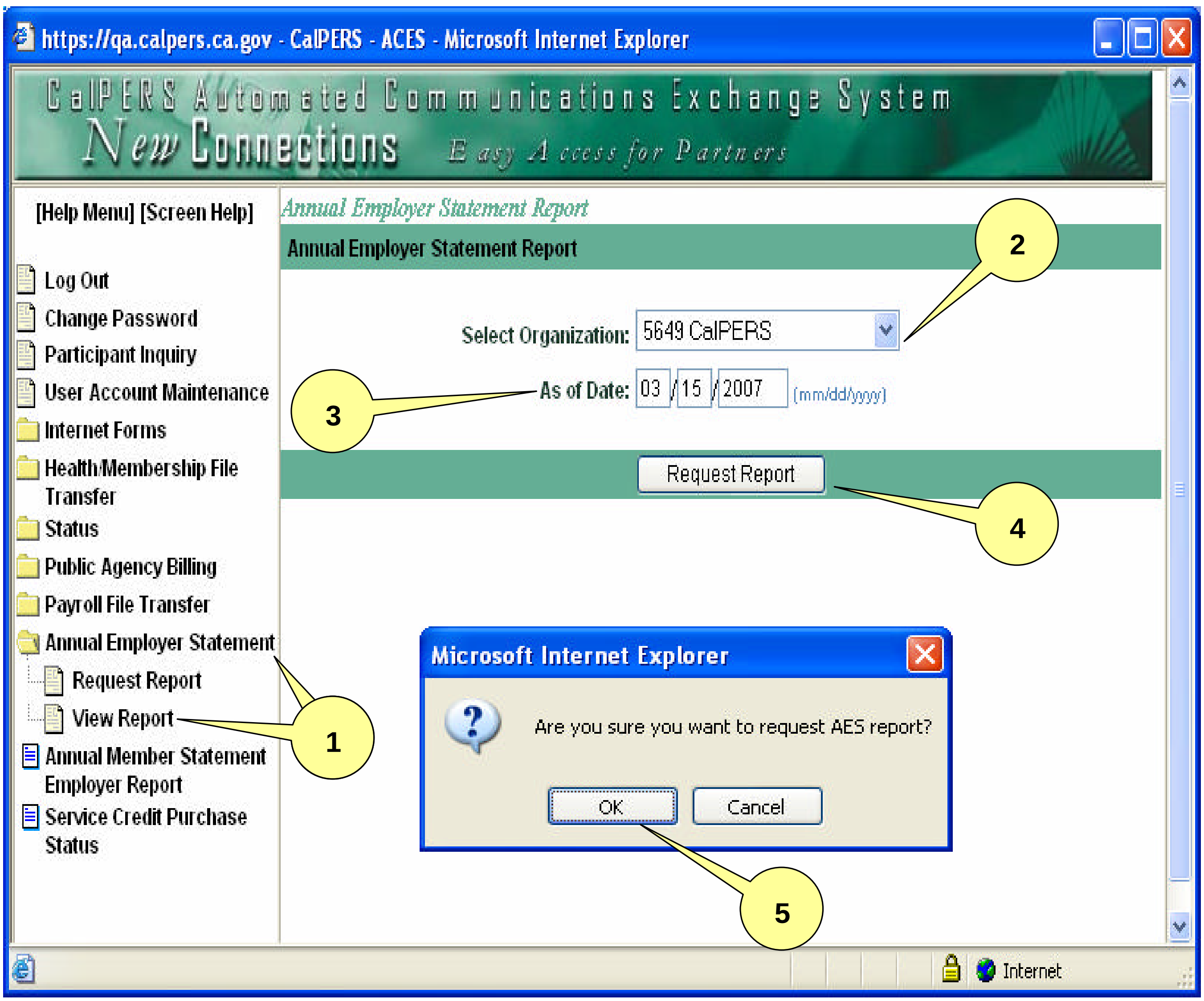
- Listing of the different coverage groups under the agency contract stating the retirement formula and whether or not they are coordinated with social security
- The member contribution rate
- The agency's employer contribution rate. This confirms the information that was provided to the agency in the annual valuation.
- Listing of all the benefits for each individual coverage group for which the agency contracts.
- Listing of any membership exclusions
- Listing of any resolutions adopted by the agency
- Definition pages providing employers with detailed descriptions of each section of the Annual Employer Statement

To gain access to the Annual Employer Statement, an Account Administrator must modify a user's account to grant access to this application. Please refer to the Account Administrator section of the ACES User Guide for instructions on granting application access.

If you have any questions, please call the CalPERS Employer Contact Center toll-free at **888 CalPERS** (or **888**-225-7377).

Request Report

1. Select ***Annual Employer Statement*** from the Navigation Menu and select **Request Report.**
2. Select **Organization** from the drop-down menu.
3. Select the **"As of Date"** (defaults to current date).
4. Click **Request Report**.
5. Click **OK**.

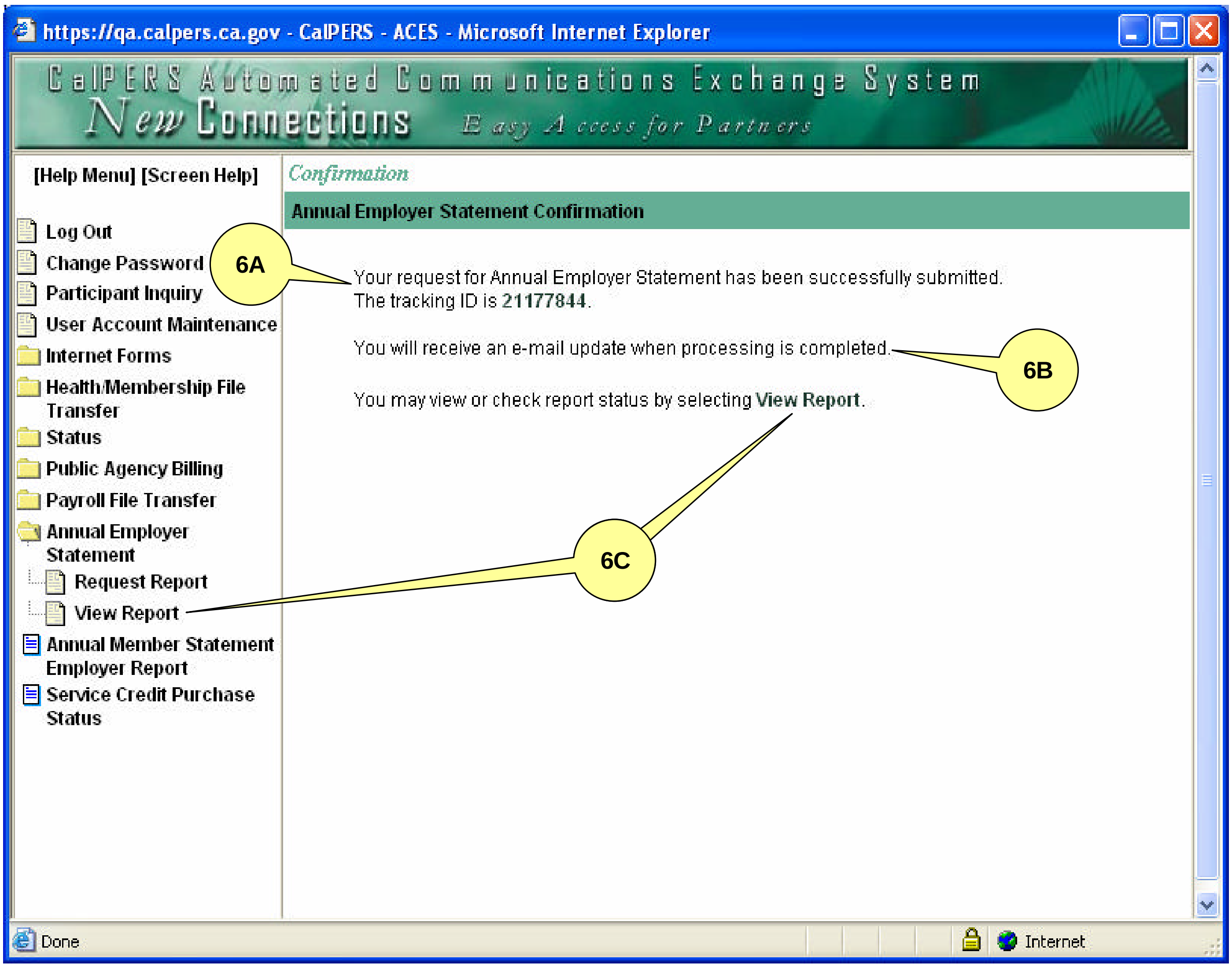


6. The system processes the request and:

   A. Displays a confirmation message including a Tracking ID for future reference

   B. Indicates an email will be sent to the user to confirm the completion of the report. This will typically be received within an hour of requesting the report.

   C. Updates the request record to a "Pending" status while the request is being processed. When the process is complete, the Annual Employer Statement can be viewed in **View Report.**

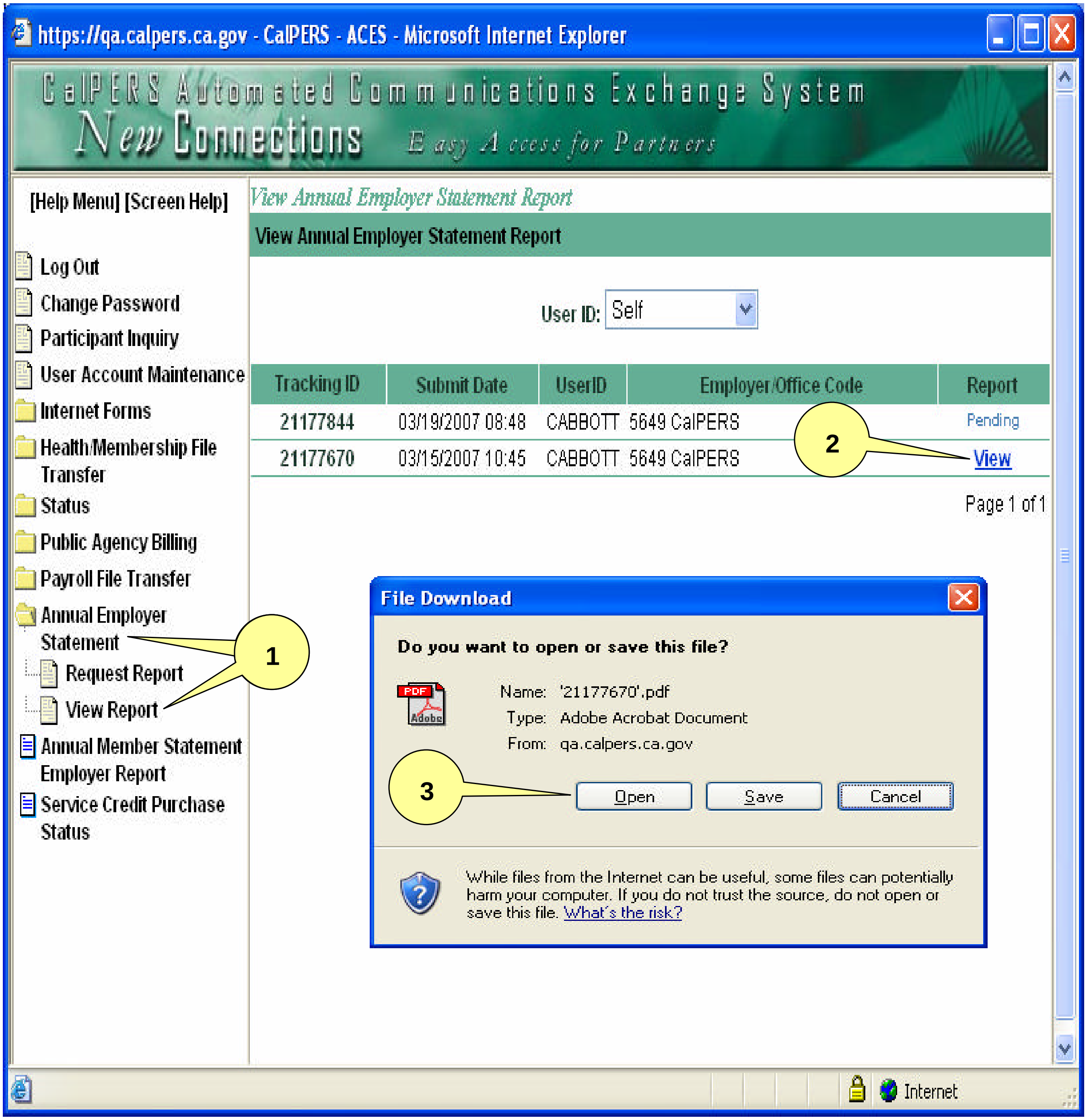


View Report

1. Select ***Annual Employer Statement*** from the Navigation Menu and select **View Report.**

2. Click "**View**" in the Report column for the selected Tracking ID.

3. When the File Download dialogue box appears, click **Open.** The statement is generated and displayed in .pdf format using Adobe.

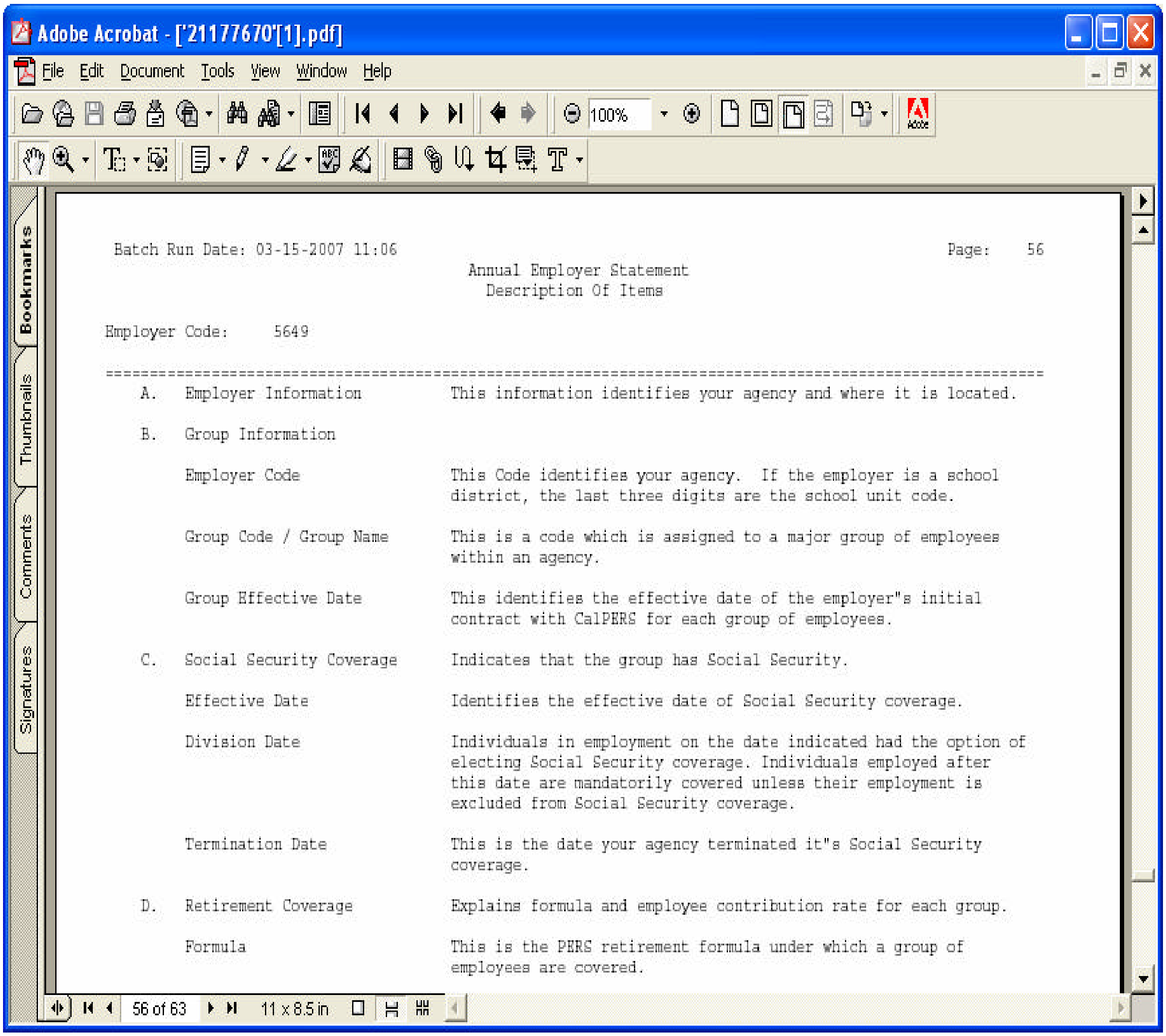


Save and/or Print the Annual Employer Statement

Adobe displays the option to Save or Print the via the icons on the toolbar or by utilizing the standard navigation of selecting File from the toolbar menu to save or print.

Annual Employer Statement Description of Items

Definition pages providing employers with detailed descriptions of each section of the Annual Employer Statement is available in the Description of Items section located at the end of the Annual Employer Statement.



Batch Run Date: 03-15-2007 11:06 Page: 56

Annual Employer Statement
Description Of Items

Employer Code: 5649

A.	Employer Information	This information identifies your agency and where it is located.
B.	Group Information	
	Employer Code	This Code identifies your agency. If the employer is a school district, the last three digits are the school unit code.
	Group Code / Group Name	This is a code which is assigned to a major group of employees within an agency.
	Group Effective Date	This identifies the effective date of the employer"s initial contract with CalPERS for each group of employees.
C.	Social Security Coverage	Indicates that the group has Social Security.
	Effective Date	Identifies the effective date of Social Security coverage.
	Division Date	Individuals in employment on the date indicated had the option of electing Social Security coverage. Individuals employed after this date are mandatorily covered unless their employment is excluded from Social Security coverage.
	Termination Date	This is the date your agency terminated it"s Social Security coverage.
D.	Retirement Coverage	Explains formula and employee contribution rate for each group.
	Formula	This is the PERS retirement formula under which a group of employees are covered.

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ANNUAL MEMBER STATEMENT EMPLOYER REPORT

The Annual Member Statement (AMS) Employer Report is provided yearly to inform employers of the employees in their agency who will receive an Annual Member Statement. It also provides the year-end account data for each member, including the mailing address used and account balances. Only members with an "Active" status are shown on your agency's report.

The report may include persons who are no longer employed by your agency if CalPERS has not been notified of the member's separation from employment. Please process an appointment change online via ACES or submit a Member Action Request form (AESD-1) to separate such former employees (or an SCO-PIMS separation transaction for State employers) to update CalPERS member data.

An employee will not receive a statement if CalPERS has not received information to establish membership, the member submitted an election document for a refund of member contributions, or CalPERS database does not contain a valid employee address. The employer should update the membership information or address either online via ACES or by submitting an AESD-1 form (or an SCO-PIMS transaction for State employers) to update CalPERS member data.

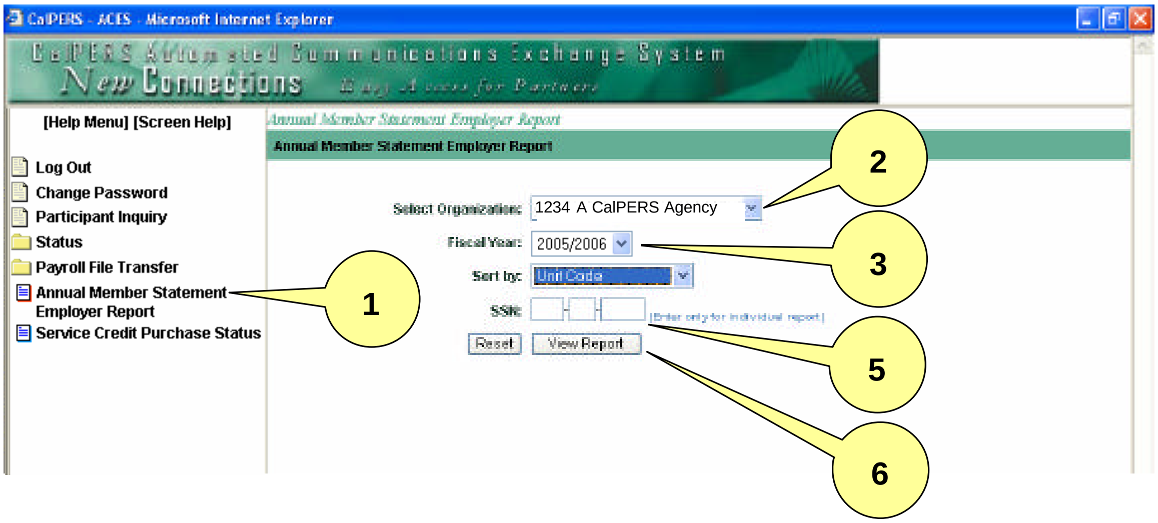
In addition, late payroll reports, or employer contract amendments, that were provided to CalPERS late and processed after the closing of the fiscal year (June 30th annually) will not be reflected in the current year's statements but will appear the following year.

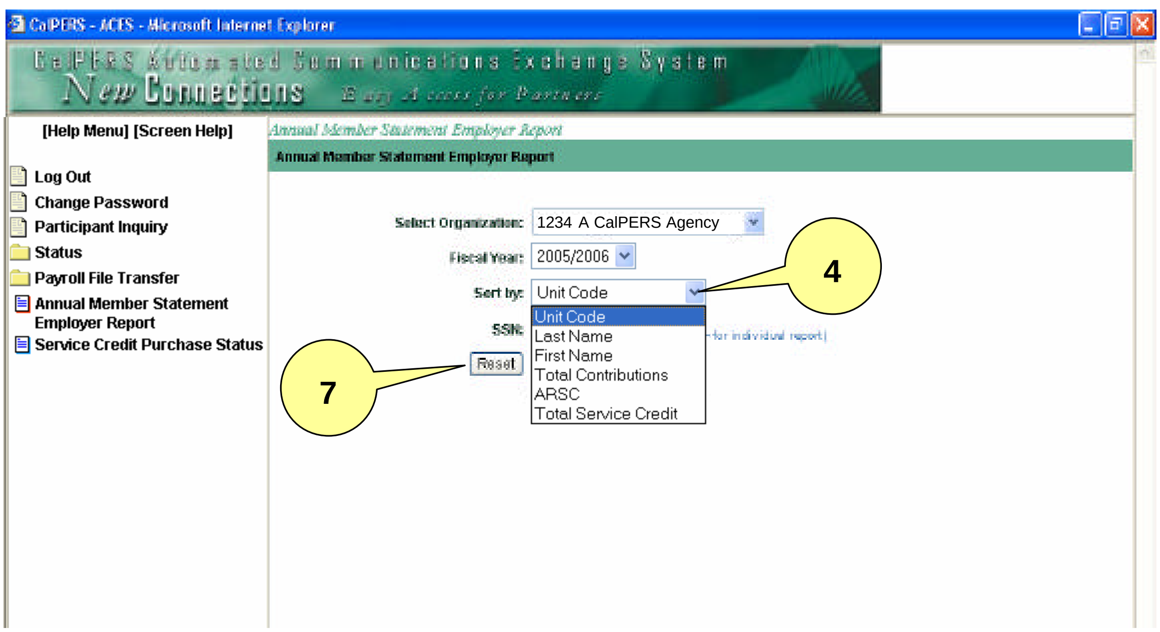
To gain access to the Annual Member Statement Employer Report, an Account Administrator must modify a user's account to grant access to this application.

If you have any questions, please contact the CalPERS Employer Contact Center at **888 CalPERS** (or **888**-225-7377).

Accessing the Annual Member Statement Employer Report

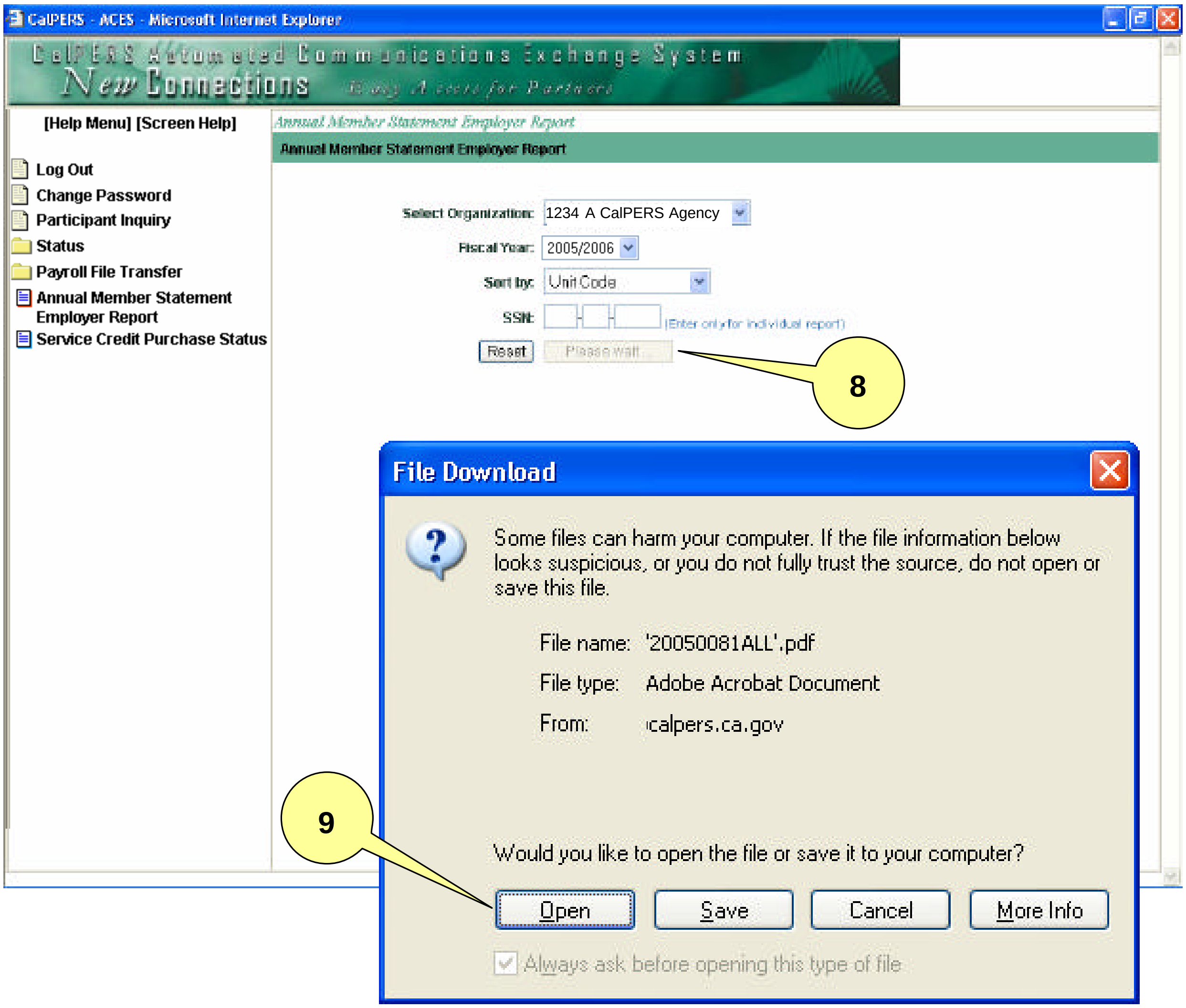
1. Select ***Annual Member Statement Employer Report*** from the Navigation Tree**.**
2. **Select Organization** from the drop-down menu.
3. Select the **Fiscal Year** for the desired report.





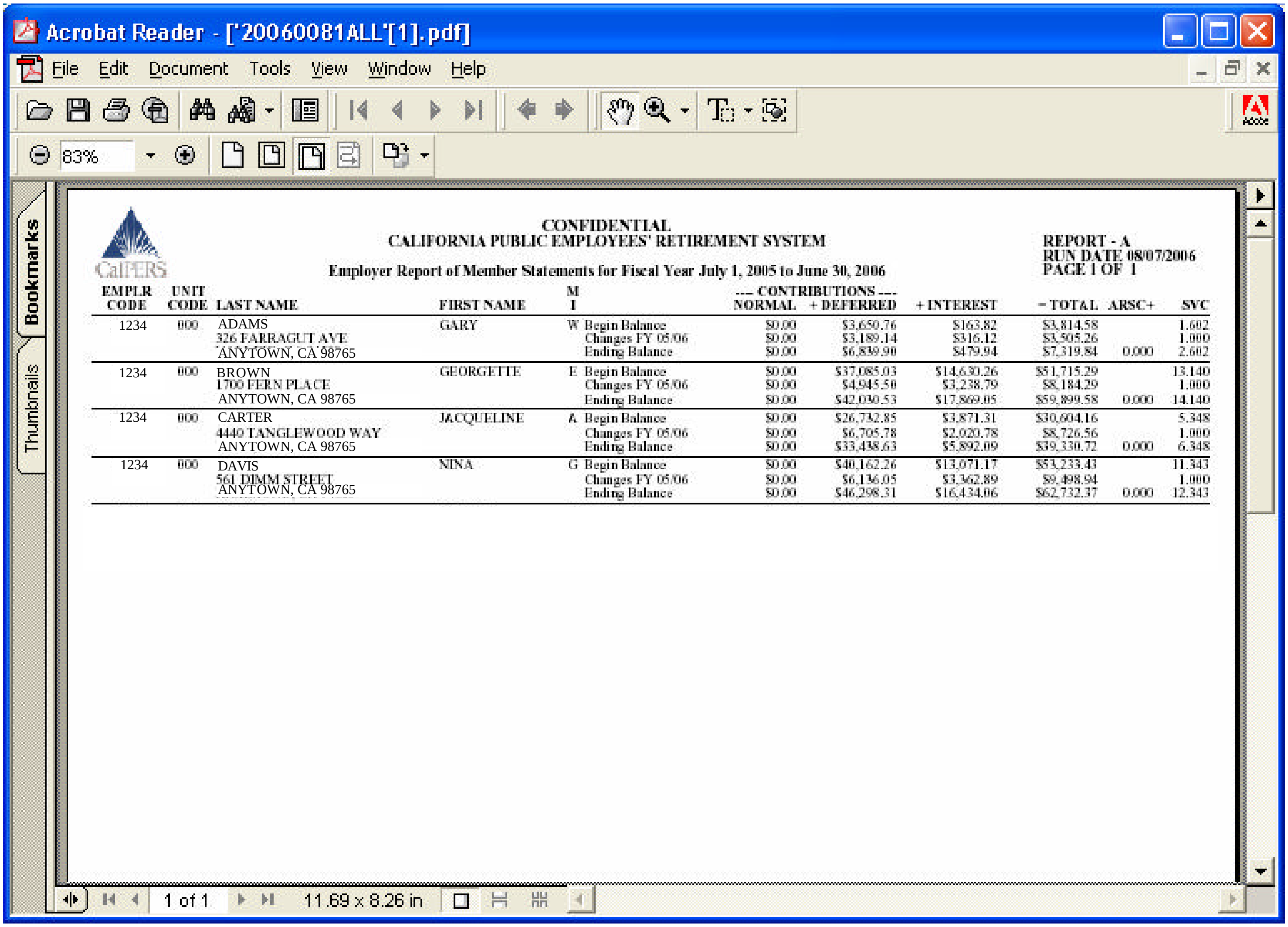
4. Select the desired sorting method from the drop-down in the **Sort by** box.
5. Enter an individual Social Security number to retrieve an individual report.
6. Click **View Report** to download the report.
7. **Reset** will clear the screen to allow you to query another report.

8. **Please wait** will appear while the AMS Employer Report is being retrieved.



9. When the **File Download** window appears, click **Open** to access the ***AMS Employer Report.***

The Annual Member Statement Employer Report



CONFIDENTIAL
CALIFORNIA PUBLIC EMPLOYEES' RETIREMENT SYSTEM

Employer Report of Member Statements for Fiscal Year July 1, 2005 to June 30, 2006

REPORT - A
RUN DATE 08/07/2006
PAGE 1 OF 1

EMPLR CODE	UNIT CODE	LAST NAME	FIRST NAME	M I		--- CONTRIBUTIONS --- NORMAL	+ DEFERRED	+ INTEREST	= TOTAL	ARSC+	SVC
1234	000	ADAMS	GARY	W	Begin Balance	$0.00	$3,650.76	$163.82	$3,814.58		1.602
		326 FARRAGUT AVE			Changes FY 05/06	$0.00	$3,189.14	$316.12	$3,505.26		1.000
		ANYTOWN, CA 98765			Ending Balance	$0.00	$6,839.90	$479.94	$7,319.84	0.000	2.602
1234	000	BROWN	GEORGETTE	E	Begin Balance	$0.00	$37,085.03	$14,630.26	$51,715.29		13.140
		1700 FERN PLACE			Changes FY 05/06	$0.00	$4,945.50	$3,238.79	$8,184.29		1.000
		ANYTOWN, CA 98765			Ending Balance	$0.00	$42,030.53	$17,869.05	$59,899.58	0.000	14.140
1234	000	CARTER	JACQUELINE	A	Begin Balance	$0.00	$26,732.85	$3,871.31	$30,604.16		5.348
		4440 TANGLEWOOD WAY			Changes FY 05/06	$0.00	$6,705.78	$2,020.78	$8,726.56		1.000
		ANYTOWN, CA 98765			Ending Balance	$0.00	$33,438.63	$5,892.09	$39,330.72	0.000	6.348
1234	000	DAVIS	NINA	G	Begin Balance	$0.00	$40,162.26	$13,071.17	$53,233.43		11.343
		561 DIMM STREET			Changes FY 05/06	$0.00	$6,136.05	$3,362.89	$9,498.94		1.000
		ANYTOWN, CA 98765			Ending Balance	$0.00	$46,298.31	$16,434.06	$62,732.37	0.000	12.343

SERVICE CREDIT PURCHASE STATUS

The Service Credit Purchase Status application allows CalPERS Employers to view the status of Service Credit Purchase Requests and Elections requested by participants.

To gain access to the **Service Credit Purchase Status** application, an Account Administrator within your agency must modify a user's account to grant access to this application. Please refer to the **Account Administrator** section of the *ACES User Guide* for instructions on granting application access.

Service Credit Purchase Status information will be available once the following have been completed:

- **Step 1 - Service Credit Purchase Request**
  The participant submits a "request" form to CalPERS for their specific service credit option. CalPERS verifies that they are eligible for this purchase, determines the actual cost, and develops payment and option information. This information is returned to the participant along with an election package.
- **Step 2 - Service Credit Purchase Election**
  After reviewing the cost and payment information sent by CalPERS, the participant submits a formal election for the purchase.

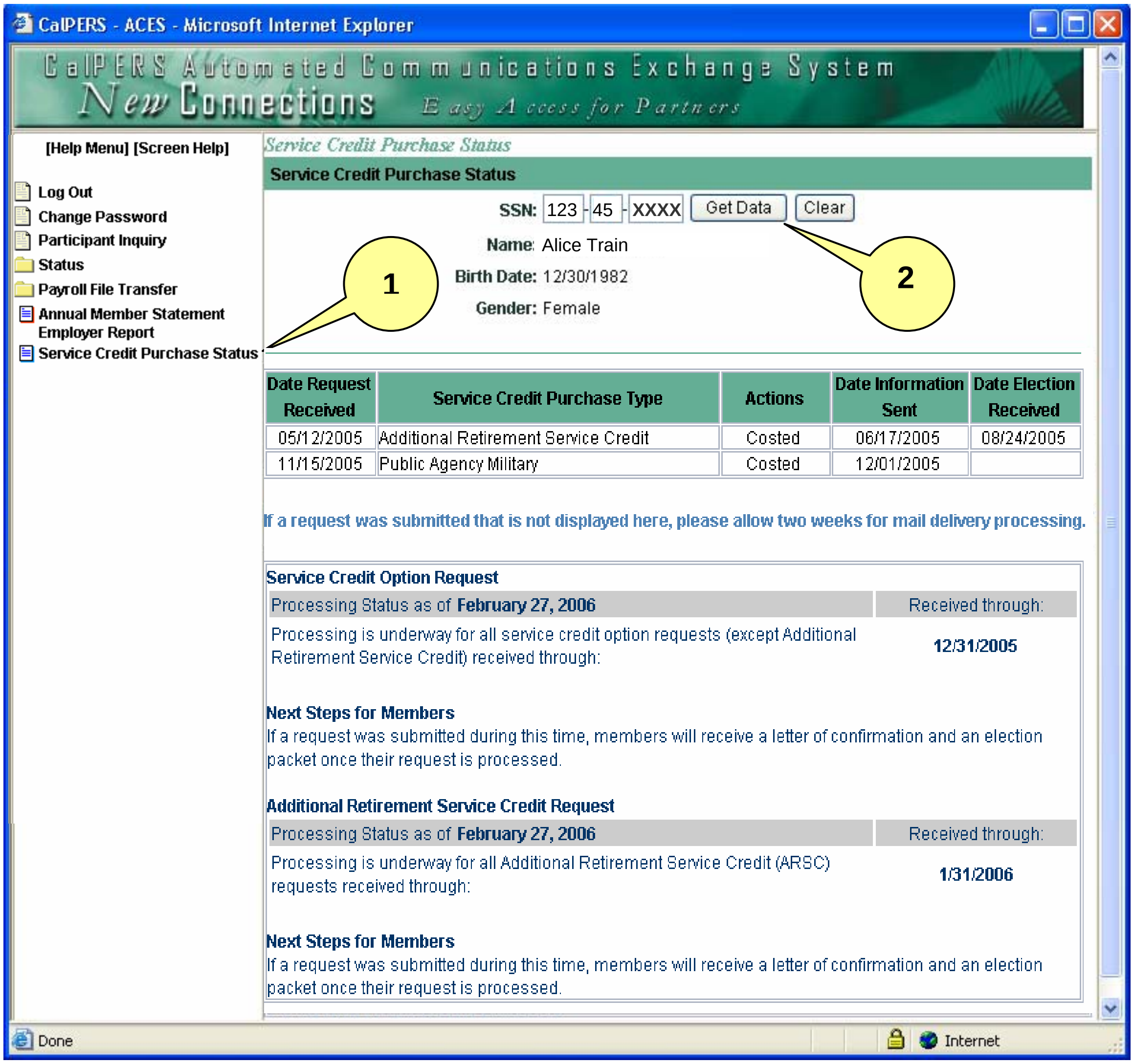
Service Credit Request Status
All requests for service credit purchase costs are processed on a "first in/first out" basis. However, special consideration is given to those participants who are retired or in the process of retiring. Cost information will be calculated based on account information as of the date the request was **received**. Once the completed election packet is received, final processing will take place and a confirmation letter will be sent by CalPERS.

For more information about purchasing service credit, please review the CalPERS Web site regarding Service Credit Purchase Options.

If you have any questions, please contact the CalPERS Employer Contact Center at **888 CalPERS** (or **888**-225-7377).

Accessing the Service Credit Purchase Status

1. Select ***Service Credit Purchase Status*** from the Navigation Tree**.**
2. Enter the participant's SSN and click **Get Data**.



SERVICE CREDIT PURCHASE STATUS DEFINITIONS	
FIELD NAME	DEFINITIONS
Date Request Received	Date the Service Credit Purchase Request was received by CalPERS
Service Credit Purchase Type	**Service Credit Purchase Types:** Service Prior to Membership Additional Retirement Service Credit Comprehensive Employment and Training Act (CETA) Contribution Adjustment Educational Leave of Absence Fellowship Layoff Service Prior to Membership Maternity/Paternity Leave of Absence Military Leave of Absence Optional Member Service Peace Corps or Americorps*Vista Prior Service Public Agency Military Public Agency Military – Retired Reclassification Redeposit of Withdrawn Contributions Sabbatical Leave of Absence Service Adjustment Service Leave of Absence Service Prior to Membership Settlement Agreement State and School Military State and School Military – Retired Temporary Disability Leave of Absence
Actions	**Actions:** **Suspense** - CalPERS is waiting on additional information such as payroll or certification before it can complete the member's request **Costed -** CalPERS has completed the request and mailed the service credit cost information to the member **Not Eligible -** The member was notified that they are ineligible to purchase the service credit type they requested **Incomplete** - CalPERS received an incomplete request form from the member. The member has been notified to complete a new request form and return it to CalPERS to be processed. Until a completed request form is received, CalPERS is unable to determine if the member is eligible to purchase the service credit type they requested.
Date Information Sent	Date confirmation letter is sent by CalPERS
Date Election Received	Date CalPERS receives election from the participant

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